



HOUSING COMMISSION AGENDA
Regular Meeting: February 13, 2013

Time: 8:00 a.m.

HACA Board Room, 22941 Atherton Street, Hayward, CA 94541-6633

The public is welcome at all Housing Commission meetings. If you wish to speak on a matter NOT on the Agenda, please file a Public Comment card with the Commission Clerk. Upon recognition by the Chairperson during Public Comment, state your name, comments and/or questions. Anyone wishing to address the Commission on an agenda item or on business introduced by the Housing Commission may do so when the Chairperson calls for comments on the agenda item. Please be brief and limit your comments to the specific subject under discussion. NOTE: Only matters within the Housing Commission's jurisdiction may be addressed.

To allow the opportunity for all to speak, a time limit of 3 minutes has been set for public speakers wishing to address the Housing Commission. The Chairperson has the discretion to further limit this time if warranted by the number of speakers.

*The Housing Commission Secretary of the Housing Authority of the County of Alameda has, on **Thursday, February 7, 2013** duly distributed this Agenda to the Clerk of the Board of Supervisors for posting in the office of the Alameda County Administration Building and has posted it on the bulletin board of the Housing Authority of the County of Alameda.*

AMERICANS WITH DISABILITIES: *In compliance with the Americans with Disabilities Act, if special assistance to participate in this meeting is needed, please contact the Housing Authority office at (510) 727-8511. Notification at least 48 hours prior to the meeting will enable the Housing Authority to make reasonable arrangements.*

| | | |
|---|--|--------------------|
| 1. CALL TO ORDER / ROLL CALL | | <u>PAGE</u> |
| 2. EXECUTIVE SESSION | | |
| <i>Contract Negotiations with SEIU Local 1021 and the Housing Authority of the County of Alameda Labor Negotiations Pursuant to Government Code 54957.6</i> | | |
| 3. APPROVAL OF THE MINUTES OF THE JANUARY 9, 2013 MEETING | ACTION | 2 |
| 4. PUBLIC COMMENT | | |
| On matters not on the Agenda | | |
| 5. NEW BUSINESS | | |
| 5-1. Resolution Adopting Last, Best, and Final Bargaining Proposal to SEIU Local 1021 | ACTION | 7 |
| 5-2. Approve Revisions to HACA's Section 8 Administrative Plan | ACTION | 19 |
| 5-3. Annual Plan for Fiscal Year 2013 | INFORMATION PUBLIC HEARING REQUIRED | 21 |
| 5-4. Budget Status Report | INFORMATION | 23 |
| 5-5. Program Activity Report | INFORMATION | 26 |
| 6. COMMITTEE REPORTS | | |
| 7. COMMISSIONER REPORTS | | |
| 8. COMMUNICATION | | |
| 9. ADJOURNMENT | | |

MINUTES
January 9, 2013



**HOUSING COMMISSION MINUTES
REGULAR MEETING: JANUARY 9, 2013, 8:00 A.M.
HACA BOARD ROOM**

SUMMARY ACTION MINUTES

1. CALL TO ORDER/ROLL CALL

Call to Order

Chairperson Reed called the meeting to order at 8:03 a.m.

Roll Call

Present: Cmr. Asher, Biddle, Cashmere, Gacoscos, Haddock, Peixoto, Reed and Steiner

Entered after roll call: Cmr. Gerry and Natarajan

Excused: Cmr. Apodaca and Iosefa

2. EXECUTIVE SESSION

*Contract Negotiations with SEIU Local 1021 and the Housing Authority of the County of Alameda
Labor Negotiations Pursuant to Government Code 54957.6*

The Commission adjourned into Executive Session at 8:04 a.m. and reconvened in regular session at 8:48 a.m. Chairperson Reed reported that there were no reportable actions taken during the Executive Session.

Chairperson Reed excused herself from the meeting and Vice Chairperson Biddle chaired the remainder of the meeting.

3. APPROVAL OF THE MINUTES OF THE DECEMBER 12, 2012 MEETING

Recommendation: Approve the minutes of the December 12, 2012 meeting as presented.

Motion/Second: Gacoscos/Natarajan.

Ayes: All. Motion passed.

APPROVED AS RECOMMENDED.

4. PUBLIC COMMENT - On matters not on the agenda.

None.

5. NEW BUSINESS

5-1. ACTION: HEALTH CARE PREMIUM CONTRIBUTIONS FOR MANAGEMENT EMPLOYEES

Thomas Makin, Deputy Director for Operations, presented the staff report. Mr. Makin reported that HACA typically pays health care premiums at a level equal to what Alameda County pays for its represented employees and noted that Alameda County will pay 90% of the lowest priced health care premium for 2013. He stated that HACA has proposed to pay 95.18% of the lowest priced health care premium for 2013 and indicated that while this proposed change is being discussed with HACA's represented employees HACA's management employees would like to have their changes to the

health care premium contributions implemented at this time. Mr. Makin explained that if the proposed change to the health care premium contributions is not implemented, managers would have to pay more toward their health care coverage since HACA would pay the health care premiums based on Alameda County's health care premium contributions for 2013.

Recommendation: Authorize the schedule of health care premium payments for management employees.

Motion/Second: Steiner/Asher.

Ayes: All. Motion passed.

APPROVED AS RECOMMENDED.

5-2. ACTION: AMENDMENT TO PROCUREMENT POLICY

Christine Gouig, Executive Director, presented the staff report. Ms. Gouig stated that HACA is proposing to amend its Procurement Policy in order to change HACA's contracting officer from Tom Makin, who retired in December 2012, to Beverly Brewer, HACA's Procurement Analyst.

Recommendation: Approve the amendment to HACA's Procurement Policy as presented.

Motion/Second: Natarajan/Asher.

Ayes: All. Motion passed.

APPROVED AS RECOMMENDED.

5-3. INFORMATION: PROCUREMENT AWARD INFORMATION

Beverly Brewer, Procurement Analyst, presented the staff report. Ms. Brewer reported that contracts for remodeling services were awarded to World Priority LLC, Men of All Trades, I.I.C. Construction, and Bay Cities Construction and stated the amounts of these contracts. Ms. Brewer also reported that HACA selected Landscape Structures to provide and install playground equipment at the Mission View public housing project in Union City.

Commission Discussion: Cmr. Biddle and Ms. Brewer discussed the condition of the playground equipment. Ms. Gouig noted that the one located at the Mission View project has been closed off. Cmr. Gacoscas thanked staff for the work that is being done to improve the projects that are located in Union City. Cmr. Asher and Ms. Gouig discussed the improvements that are planned for the Emery Glen public housing project in Emeryville.

5-4. INFORMATION: QUARTERLY INVESTMENT PORTFOLIO REPORT FOR THE QUARTER ENDED DECEMBER 31, 2012

Cathy Leoncio, Finance Director, presented the staff report. Ms. Leoncio summarized HACA's investments for the quarter and discussed some of the reasons why certain types of investment funds are selected.

Commission Discussion: Cmr. Peixoto and Ms. Leoncio discussed investment earnings.

5-5. INFORMATION: BUDGET STATUS REPORT

Christine Gouig presented the staff report. Ms. Gouig reported that Congress delayed a decision on the sequestration cuts until March. She described the potential impact that these cuts could have on

HACA's Section 8 program and indicated that staff is working to develop a strategy should the federal government implement these cuts.

Commission Discussion: Cmr. Peixoto and Ms. Leoncio discussed the timing of HUD's funding and fiscal year and how these affect HACA's ability to make projections in the budget. Cmr. Steiner and Cmr. Biddle talked about briefing newly-elected Congressman Eric Swawell on these funding issues. Cmr. Cashmere and Ms. Gouig discussed how these cuts could affect HACA's wait list. Cmr. Gerry commented that cuts to the Section 8 program could deter landlord participation.

Public Comment: Barbara Lopez, SEIU representative, commented on reaching out to Congresswoman Barbara Lee.

5-6. INFORMATION: PROGRAM ACTIVITY REPORT

Sharon DeCray, HAFS Program Manager, reported on HACA's participation in a nationwide evaluation of the Family Self-Sufficiency (FSS) program that is being conducted by HUD. Ms. DeCray also reported on the FSS *Giving Connection* event that was held during the holidays.

6. COMMITTEE REPORTS

None.

7. COMMISSIONER REPORTS

None.

8. COMMUNICATIONS

Tom Makin thanked the Housing Commission for choosing to name HACA's to-be-remodeled office building after him.

9. ADJOURNMENT

There being no further business to discuss Vice Chairperson Biddle adjourned the meeting at 9:23 a.m.

Respectfully submitted,

Melissa Taesali
Executive Assistant

Christine Gouig
Executive Director/Commission Secretary

Approved:

Ursula Reed
Chairperson

NEW BUSINESS

February 13, 2013

HOUSING AUTHORITY OF ALAMEDA COUNTY

AGENDA STATEMENT

Meeting: February 13, 2013

Subject: Resolution adopting the Housing Authority's last, best and final bargaining proposal to SEIU Local 1021 for the Fiscal Year 2012-2013 labor negotiations

Exhibits Attached: Resolution No. 13-01; Comprehensive HACA Offer; Notice of Impasse

Recommendation: Adopt the attached resolution

BACKGROUND

On June 7, 2012, the Housing Authority and SEIU Local 1021 began negotiations for a successor to the Parties' Memorandum of Understanding ("MOU") labor agreement. The Authority had sought to begin negotiations for approximately two months and finally secured an initial bargaining session with SEIU Local 1021 on June 7, the date the outgoing MOU expired. The Authority presented all of its initial proposals to SEIU Local 1021 with supporting financial information at this first bargaining session. The Parties went on to have 11 bargaining sessions between June and September 2012, during which it became apparent that the Parties would not be able to reach agreement on a successor MOU for the 2012-2013 fiscal year. As a result, the Housing Authority provided its last, best and final proposal to SEIU Local 1021 on September 21, 2012 and, after two more bargaining sessions, declared an impasse on November 1, 2012 and provided a written Notice of Impasse (attached) to SEIU Local 1021 on the same date.

DISCUSSION AND ANALYSIS

The Housing Authority and SEIU Local 1021 are at an impasse in their negotiations. The Authority has determined that all employees of the Authority must accept up to seven (7) days of unpaid furlough or an equivalent salary reduction and begin to pay for a small portion of their health benefit premium. The Authority's determination arises because its current year Federal appropriation is below that required to fully fund the agency's operations and make all of its compensation commitments to its workforce. The Authority is further concerned that it cannot use its one-time reserve funding, which cannot be replenished for the foreseeable future, to fund ongoing compensation for Authority employees without threatening the overall financial health of the agency.

SEIU Local 1021 has repeatedly declined the Housing Authority's proposal seeking furloughs or an equivalent wage reduction and declined the Authority's proposal

seeking employee participation in the payment of health care premiums. SEIU Local 1021 has proposed that the Authority reduce management staffing and/or compensation, spend reserves and/or reduce material purchases used to operate the agency instead of reducing represented employees' compensation. SEIU Local 1021 is also adamant that employees should not have to pay for a portion of their health care premium.

The Parties also differ on the term of the next MOU. SEIU Local 1021 insists upon a two year MOU. While the Authority also wishes to have a multi-year agreement, it cannot responsibly enter into an agreement longer than one year because it does not know what its Federal funding will be for the fiscal 2013-2014 budget year. Congress could allow the sequester to take effect on March 1, resulting in a 5.1% cut to the Authority's funding and could extend the in-place Continuing Resolution, which expires March 27, through the balance of the federal fiscal year, resulting in the Authority receiving only 75% of its formula funding allocation. The potential impacts of such cuts are too severe to commit to a multi-year MOU.

The Parties have also been unable to reach agreement on a variety of other issues, including but not limited to contracting-out for certain inspection services and the use of temporary employees.

Due to the urgent need for a balanced budget and the fact that the Authority's fiscal year ends in 4 ½ months, staff recommends that your Housing Commission adopt its last, best and final proposal to SEIU Local 1021. The terms of the Authority's last, best and final proposal are described in the Authority's September 21, 2012 Comprehensive Offer, which is attached to the proposed resolution for this matter.

HOUSING AUTHORITY OF THE COUNTY OF ALAMEDA

RESOLUTION NO. 13-01

**RESOLUTION ADOPTING THE AUTHORITY'S LAST, BEST AND
FINAL BARGAINING PROPOSAL TO SEIU LOCAL 1021 FOR THE
FISCAL YEAR 2012-2013 LABOR NEGOTIATIONS**

WHEREAS, the Housing Authority of the County of Alameda ("Authority") recognizes Service Employees International Union Local 1021 as the exclusive representative for the Authority's general employees bargaining unit, the classifications for which are listed in Appendix A to the Parties' Memorandum of Understanding ("MOU") for fiscal year 2011-2012; and

WHEREAS, the Parties began exchanging information relevant to the labor negotiations in April, 2012; and

WHEREAS, during the Spring of 2012, the Authority sought to begin labor negotiations for an MOU to replace the fiscal year 2011-2012 MOU which expired on June 7, 2012; and

WHEREAS, SEIU Local 1021 agreed to and then cancelled two initial bargaining dates during May, 2012 and finally agreed to begin negotiations on June 7, 2012, at which time the Authority presented all of its opening proposals and financial data to the SEIU Local 1021 bargaining team; and

WHEREAS, the Parties had 11 bargaining sessions between June 7, 2012 and September 21, 2012, during which they exchanged proposals, ideas and information, but were unable to reach agreement on terms for an MOU for fiscal year 2012-2013; and

WHEREAS, the Authority's bargaining team has presented all SEIU Local 1021 proposals to the Authority's Housing Commission; and

WHEREAS, the Authority provided its last, best and final proposal to SEIU Local 1021 during the bargaining session held on September 21, 2012; and

WHEREAS, in an effort to reach agreement with SEIU Local 1021, the Authority had two further bargaining sessions with the SEIU Local 1021 bargaining team on October 3 and November 1, 2012; and

WHEREAS, the Authority provided a written notice of impasse to SEIU Local 1021 at the end of the bargaining session held on November 1, 2012; and

WHEREAS, the Authority determined that the Parties' impasse was not amenable to resolution via mediation and SEIU Local 1021 did not request fact finding; and

WHEREAS, the Authority has exhausted its impasse procedures;

NOW, THEREFORE, BE IT RESOLVED, by the Housing Commission of the Housing Authority of the County of Alameda that the Authority exercises its responsibility under the Meyers-Miliias-Brown Act to unilaterally adopt to the extent allowed by law its last, best and final proposal to SEIU Local 1021 for wages, hours, terms and conditions of employment, the terms of which are described in the Authority's September 21, 2012 Comprehensive Offer to SEIU Local 1021 which is attached and incorporated by reference into this Resolution.

PASSED, APPROVED AND ADOPTED by the Housing Commission of the Housing Authority of the County of Alameda on this _____ day of _____ 2013 by the following vote:

AYES:

NOES:

ABSTAIN:

EXCUSED:

ABSENT:

Ursula Reed
Housing Commission Chairperson

Attest:

Christine Gouig
Executive Director/Housing Commission Secretary

Adopted: _____

**Housing Authority of Alameda County and SEIU Local 1021
2012 MOU Labor Negotiations**

Comprehensive HACA Offer

Offered: September 21, 2012

Subjects: All Subjects of Negotiations

HACA makes the following comprehensive package offer to SEIU Local 1021 regarding all pending proposals for a successor labor agreement. The Authority is nearing a fourth month without a successor MOU and would like to conclude negotiations promptly.

Open Management Proposals

1. **Section 35 – Term**

One year from June 8, 2012 to June 7, 2013.

2. **Section 12 – Wages**

Alternative A.

Wages shall remain unchanged during the term of this Agreement. To address HACA's reduced funding and to stabilize wages for the year, HACA proposes the following savings measures:

- A) All employees shall take at least seven unpaid furlough days during the term of this Agreement. The dates are to be agreed-upon by the Parties if possible.
- B) Sections 12C and 12D shall be deleted from the MOU.
- C) The MOU shall include a clause providing that the Authority may reduce the number of furlough days if its finances improve.
- D) 2% increase in the employer health benefit contribution.
- E) No change in step freeze language.

Alternative B.

- A) The base hourly rate of all employees shall be reduced by an amount equivalent to the savings of a seven day unpaid furlough during the term of this Agreement. This wage reduction shall continue during the period of any negotiations for a successor MOU. There will come a point during the fiscal year when unpaid furloughs are no longer viable and as a result wage reduction is the only responsible choice. Furthermore, a wage reduction avoids the pitfalls of unpaid furloughs identified by the Parties during their negotiations
- B) Sections 12C and 12D shall be deleted from the MOU.
- C) The MOU shall include a clause providing that the Authority may reduce the wage adjustment if its finances improve.
- D) 2% increase in the employer health benefit contribution.
- E) No change in wage freeze language.

3. Section 24

The Authority may contract-out for housing inspection services during the term of this Agreement without further negotiations with the Union.

4. Staffing

The Authority is prepared to receive Union proposals regarding impacts caused by the pending elimination of two Account Specialist positions (one filled) and two Housing Inspector positions (one filled) and the ongoing vacancy of two additional Housing Specialist positions. The Authority has provided an opportunity for the Account Specialist to be laid off to accept a demotion in lieu of lay-off. The Authority has also provided an opportunity for the Housing Inspector who would be laid off to apply for another vacant, funded position within the agency.

Open SEIU Local 1021 Proposals

Section 2 – No Discrimination

Withdrawn.

Section 4C – Job Site Access

Withdrawn.

Section 4I – Commission Meetings

The Authority agrees to clarify Section 4I to indicate that the Union can designate two employees who might attend Commission meetings, only one of whom may be released for each meeting.

Section 10 – Vacation Leave

The Authority agrees to amend Section 10L to provide for two vacation cash-out opportunities per year in Section 10L(2) and to clarify that minimum vacation balances to be eligible to cash-out must be either 40 or 37.5 hours depending on the employee's classification in Section 10L(3).

Section 11G – Sick Leave

Withdrawn.

Section 11H – Catastrophic Leave

The Authority agrees to add a reference to domestic partners in Section 11H.

Section 11J – FMLA / PDL

Withdrawn.

Section 12 – Wages

Declined – The Authority needs to make spending cuts, not increase costs. This is not the Authority's doing but rather is a consequence of ongoing Federal funding reductions. Notice that the Authority's proposal *reduces* the unpaid furloughs and/or wage reduction from the previously proposed 10 days to the currently proposed 7 days. The Authority may further reduce concessions during the term of the MOU if its finances improve. The Authority has no desire to reduce employee compensation any more than necessary.

Section 14 – Health Plans

Declined – The Authority is not in a position to increase the costs of the vision benefit (which is already more generous than the management benefit) or the cost of employees foregoing health coverage. Furthermore, increasing the employer contribution for the health premium from the Authority's proposed 2% to the Union's requested 7.16% would create further deficit that would have to be recaptured in further wage concessions.

Section 18 – Safety

Declined – The proposed preamble language is vague and therefore gives no specific direction to the Authority. The Authority already has a legally required Injury and Illness Prevention Policy, a Safety Committee and a plan to rehabilitate the property at 22941 Atherton to enhance employee safety.

Section 19 – Vacancies

Declined – The proposed amendment to Section 19 has nothing to do with the transfer challenges that the employees discussed during negotiations.

Section 20 – Grievance Procedure

The Authority agrees as part of a package to the Union's August 14, 2012 amended proposal.

Section 21 – Disciplinary Appeals

Withdrawn.

Section 24 – Contracting Out

Declined – The Union's proposal violates management rights.

Section 25 – Temporary Employees

Declined – The existing 12 month term for use of temporary employees is not being abused by the Authority and is necessary in the exigent circumstances in which it is used. Restricting or eliminating temporary employees would 1) exacerbate the Authority's deficit, 2) not generate revenue to reduce the concessions proposed in this package and 3) exacerbate full-time employee workload issues proposed to be addressed by the Union.

Section 26 – Notice of Layoffs

Withdrawn.

Section 29 – Life Insurance

Withdrawn.

Section 30 – Uniforms

Agreed as part of the package. The Authority can accept this proposal so long as the Union accepts its financial proposals.

Addendum A – Death in Family

Withdrawn.

Personnel Policies

Withdrawn.

Me Too Clause

Declined – The Union already has terms more favorable than management in several areas and the Union has refused the Authority's invitation to explore a bilateral me too clause.

Side Letter – Caseloads

The Parties have agreed as part of a package proposal to the following, "The Union and the Authority, through the Labor Management Committee shall discuss workload expectations within 90 days of completion of negotiations. These discussions shall be conducted pursuant to the Parties' Labor Management Committee side letter dated September 8, 2004."

**Housing Authority of Alameda County and SEIU Local 1021
2012 MOU Labor Negotiations**

Notice of Impasse

Delivered to SEIU Local 1021 on November 1, 2012

HACA made its best offer to SEIU Local 1021 on September 21, 2012. HACA has had further negotiations with SEIU Local 1021 in an effort to reach agreement on that best offer. HACA understands that the points of disagreement between the Parties are as follows:

Section 12 – Wage

- A. The employer proposes seven days of unpaid furlough. The Parties have discussed the possibility of reducing the unpaid furlough to four days in exchange for freezing a vacant administrative clerk position. SEIU Local 1021 has not made a formal offer to HACA seeking to amend the Authority's final offer to make this change. SEIU Local 1021 has stated that this change alone will not result in an agreement. Instead, SEIU Local 1021 would also need the other three issues lists below resolved to its satisfaction.
- B. SEIU Local 1021 wants Sections 12C and 12D suspended instead of deleted from the MOU.
- C. SEIU Local 1021 does not want employees to pay for any portion of the medical benefit premium.

Staffing

- A. SEIU Local 1021 seeks a severance for Housing Inspector Liza Simmons who will be laid-off as a result of the Authority's staffing proposal. The MOU does not include a severance provision.

SEIU Local 1021 has indicated that it would withdraw and/or accept HACA's position declining SEIU's proposals to amend Sections 18, 19, 24,

25 and to add a “me too” clause if the Parties were able to reach agreement on the four items listed above.

HACA wishes to emphasize to SEIU Local 1021 that the Authority would have to resort to Alternative B described in its best offer if this labor negotiation is not resolved by January, 2013. The period of time between Christmas and New Year’s Day is the most logical point in time to institute many of the unpaid furlough days. HACA believes that it would need to reduce employee hourly wages if this negotiation is not resolved by January, 2013 because the opportunity to institute unpaid furloughs without having an undue impact on public service would be lost.

HOUSING AUTHORITY OF ALAMEDA COUNTY

AGENDA STATEMENT

Meeting: February 13, 2013

Subject: Administrative Plan Policy Revisions

Exhibits Attached: Attachment A: Redline summary of policy revisions

Recommendation: Approve proposed policy revisions

Financial Statement: None

BACKGROUND

HACA's Section 8 Housing Choice Voucher (HCV) Program Administrative Plan (Admin Plan) sets forth HACA's policies for administering the Section 8 Program in a manner consistent with HUD requirements and HACA's Agency Plan—its policies, programs, operations, and strategies for meeting local housing needs and goals. HACA's Admin Plan is available for public review.

From time to time it becomes necessary to amend the Admin Plan in order to incorporate changed HUD regulations, revised HACA practices or program initiatives, or to make clarifications or corrections.

ANALYSIS and DISCUSSION

Policy revisions are proposed to HACA Admin Plan Chapters 6, 7, 11 and 16 in order to incorporate temporary compliance relief set forth in HUD Notices PIH 2013-03 (HA) issued January 22, 2013 and PIH 2013-04 (HA) issued January 28, 2013. The changes are intended to provide increased administrative flexibility, and to reduce PHAs' administrative burden in a period of decreased budget authority. A red-line version of the changes is enclosed. See Attachment A.

Chapter 6

Revises Section 6-I.C. in order to allow HACA to use actual past income rather than projected future income to determine annual income. When using the past income information available in HUD's Enterprise Income Verification (EIV) system, the program participant is no longer required to provide third party documentation (e.g., paystubs, payroll summary report, unemployment monetary benefit notice) because EIV data has been verified by a third party. HACA must continue to verify income from sources not available in EIV. HACA must also request written third-party verification if there has been a change in circumstances for a tenant, or when a tenant disputes the EIV-

reported income information and is unable to provide acceptable documentation to resolve the dispute.

Revises Section 6-I.G. to allow households to self-certify as to having assets of less than \$5,000. Tenants with assets below \$5,000 typically generate minimal income from these assets, which results in small changes to tenant rent payments. The revisions allow HACA to accept a family's declaration of the amount of assets of less than \$5,000, and the amount of income expected to be received from those assets.

Revises Section 6-III.C. to allow HACA to establish a payment standard of not more than 120 percent of the Fair Market Rent without HUD approval if a family requires a higher payment standard as a reasonable accommodation for a family member who is a person with disabilities.

Chapter 7

Revises Sections 7-I.B., 7-I.C. and 7-I.D. to conform HACA's verification policies to the changes made in Chapter 6 regarding use of actual past income and self-certification of assets of less than \$5,000; and the changes made in Chapter 11 regarding streamlined annual reexaminations for elderly families and disabled families on fixed incomes.

Revises the introductory paragraph of Section 7-III to conform HACA's verification policies to the changes made in Chapter 6 regarding self-certification of assets of less than \$5,000; and to implement PIH Notice 2013-04 (HA) regarding only having to verify income that is not fully excluded.

Revises Section 7-III.C. to conform HACA's verification policies to the changes made in Chapter 11 regarding streamlined annual reexaminations for elderly families and disabled families on fixed incomes.

Chapter 11

Revises Section 11-I.A. to allow HACA to conduct streamlined annual reexaminations for elderly families and disabled families on fixed incomes.

Chapter 16

Revises Section 16-II.B. to allow HACA to conduct streamlined annual reexaminations for elderly families and disabled families on fixed incomes.

Staff recommends that you approve the revisions to the Admin Plan. Once approved, staff training will be conducted and the revised Plan will be implemented.

HOUSING AUTHORITY OF ALAMEDA COUNTY

AGENDA STATEMENT

Meeting: February 13, 2013

Subject: Annual Plan for Fiscal Year 2013 (Public Hearing Required)

Exhibits: Attachment B: Draft of HACA's Annual Plan for Fiscal Year 2013

Recommendation: Receive Draft Plan and Conduct Public Hearing to Accept Comments

Financial Statement: None

BACKGROUND

The HACA Annual Plan is a guide to HACA's policies, programs, operations, and strategies for meeting the local housing needs and goals set forth in HACA's 5-Year Plan for Fiscal Years 2010-2014. HUD regulations require that housing authorities update their Annual Plan each year.

Staff has prepared the draft Annual Plan, using the template required by HUD. The Annual Plan is due at HUD by April 16. We are bringing the draft Plan to you in February so that you have sufficient time for review prior to the due date. We will present the Plan as an action item at your March 13 meeting. Before the March 13 meeting staff will also have met with the Resident Advisory Board (RAB) and will present any comments the RAB has along with staff's responses.

DISCUSSION and ANALYSIS

There are few significant substantive changes proposed in the current draft Annual Plan in comparison to last year's. Changes have been made to Section 7 to reflect activity that has taken place since last year's Annual Plan regarding HACA's disposition of its public housing units and its receipt of Section 8 replacement vouchers. There is also a change that addresses HACA's potential participation in HUD's Rental Assistance Demonstration (RAD) program and the possible allocation of project-based vouchers to several projects. Progress toward Goal 10.1.2., Expand the supply of assisted housing, has been updated to reflect HACA's receipt of 25 VASH vouchers last fiscal year and the project-basing of the former Nidus Court and Dyer Street Public Housing elderly developments. The narratives for Goal

10.1.3., Improve the quality of assisted housing, and Goal 10.1.6., Promote self-sufficiency and asset development of assisted households, have also been updated. Goal 10.1.7., Ensure equal opportunity and affirmatively further fair housing, has been expanded to add age, marital status, sexual orientation, source of income, and ancestry as bases on which to undertake affirmative measures to ensure access to assisted housing and a suitable living environment for families living in assisted housing.

As in recent years, total Capital Funds are shown as a transfer to operations rather than being separately budgeted for each project. This is allowed for housing authorities with fewer than 250 public housing units and that, like HACA, are, at a minimum, standard performers under the PHAS reporting system. Capital Fund allocations are determined by HUD formula.

BUDGET STATUS

REPORT

Housing Authority of Alameda County
HOUSING CHOICE VOUCHER
Budget Status Report FYE 2012-2013
December 2012

| FY 2013 - HCV OPERATING BUDGET | Budgeted @ 12/31/2012 | Actual @ 12/31/2012 | OVER (UNDER) | PROJECTED TO 6/30/13 | SCH. NO. | 2012 BUDGET | 2013 BUDGET | DIFFERENCE | % chg |
|--|--------------------------|------------------------|-----------------|-------------------------|-------------|----------------|--------------------|------------|----------|
| INCOME | | | | | | | | | |
| Investment Income | 1,800 | 1,881 | 81 | 3,762 | A1 | 3,600 | 3,600 | 0 | 0% |
| Misc. Income | 104,000 | 20,152 | (83,848) | 208,000 | A1 | 345,040 | 208,000 | (137,040) | -40% |
| Administrative Fee Income | 3,452,656 | 3,459,884 | 7,229 | 6,833,941 | A | 7,270,973 | 6,905,311 | (365,662) | -5% |
| TOTAL INCOME | 3,558,456 | 3,481,917 | (76,539) | 7,045,703 | | 7,619,613 | 7,116,911 | (502,702) | -7% |
| EXPENSES | | | | | | | | | |
| Administration | | | | | B-1&2 | (4,391,400) | (4,362,145) | 29,255 | -1% |
| Salaries | (2,181,072) | (1,941,382) | 239,690 | (3,882,765) | C-1&2 | (1,077,012) | (1,161,477) | (84,465) | 8% |
| Other Admin. | (580,738) | (614,726) | (33,988) | (1,361,106) | | (5,468,413) | (5,523,621) | (55,209) | 1% |
| Total | (2,761,811) | (2,556,109) | 205,702 | (5,243,870) | | | | | |
| General | | | | | E | (204,029) | (201,590) | 2,439 | -1% |
| Insurance | (100,795) | (65,816) | 34,979 | (131,632) | | (2,195,700) | (2,224,694) | (28,994) | 1% |
| Employee Benefits | (1,112,347) | (1,055,628) | 56,719 | (1,980,210) | | 0 | 0 | 0 | |
| Miscellaneous | 0 | 0 | 0 | 0 | | (2,399,729) | (2,426,284) | (26,555) | 1% |
| Total | (1,213,142) | (1,121,444) | 91,698 | (2,111,842) | | | | | |
| Total Routine Expenses | (3,974,953) | (3,677,552) | 297,401 | (7,355,712) | | (7,868,142) | (7,949,905) | (81,763) | 1% |
| Capital Expenditures | 0 | 0 | 0 | 0 | D2 | 0 | 0 | 0 | 0% |
| TOTAL EXPENSES | (3,974,953) | (3,677,552) | 297,401 | (7,355,712) | | (7,868,142) | (7,949,905) | (81,763) | 1% |
| Income (Deficit) Unfunded 2012 FSS (1/2 year) - Use of Reserve | | | | (158,607) | | | (158,607) | | |
| Income (Deficit) UNSPECIFIED BUDGET REDUCTION | | | | (151,402) | | | (674,387) | | |
| NET INCOME (DEFICIT) | (416,497) | (195,635) | (373,939) | (310,009) | | (248,529) | (832,994) | (584,465) | 235% |

2012 Funding for FSS (unfunded)
Salaries and Benefits FSS expenses
Use of Reserve (unfunded FSS) for 1/2 2012 (July-Dec 2012 **

103,020
(261,627)
(158,607)

Unrestricted Net Assets @ 6/30/12
Use of Reserve (unfunded FSS) for 1/2 2012-July-December
Projected Income/(Deficit) @ 6/30/13
Projected Unrestricted Net Assets @ 6/30/13

\$ 2,478,875
** (158,607)
(151,402)
\$ 2,168,866

Housing Authority of Alameda County
PUBLIC HOUSING
Budget Status Report FYE 2012-2013
December 2012

| FY 2013 - PH OPERATING BUDGET | YTD BUDGET 12/31/2012 | YTD ACTUALS 12/31/12 | OVER/ (UNDER) BUDGET | Projected to 6/30/13 | SCH. NO. | 2012 BUDGET | 2013 BUDGET | Difference |
|---|--------------------------|-------------------------|----------------------------|-------------------------|-------------|--------------------|--------------------|------------------|
| INCOME | | | | | | | | |
| Dwelling Rentals | 266,805 | 267,490 | 685 | 533,610 | A-1 | 804,948 | 533,610 | (271,338) |
| Investment Income | 1,100 | 1,177 | 77 | 2,355 | A | 2,025 | 2,200 | 175 |
| Misc. Income | 67,882 | 42,790 | (25,092) | 85,581 | A-1 | 85,108 | 135,764 | 50,656 |
| Transfer of Reserves from Ocean Ave | | | | 500,000 | | | 500,000 | 500,000 |
| Operating Subsidy | 190,290 | 287,605 | 97,315 | 380,579 | A-1 | 496,628 | 380,579 | (116,049) |
| Asset Reposition Fee | 99,510 | 0 | (99,510) | 199,020 | A-1 | 148,594 | 199,020 | 50,426 |
| Capital Grant | 129,189 | 0 | (129,189) | 258,378 | A-1 | 169,275 | 258,378 | 89,103 |
| TOTAL INCOME | 754,775 | 599,063 | (155,713) | 1,959,523 | | 1,706,579 | 2,009,551 | 302,971 |
| EXPENSES | | | | | | | | |
| Administration | | | | | | | | |
| Salaries | (116,546) | (100,727) | 15,820 | (201,453) | B-1&2 | (383,445) | (233,093) | 150,353 |
| Other Admin. | (58,184) | (27,389) | 30,795 | (54,779) | C-1 | (167,363) | (116,368) | 50,995 |
| Total | (174,730) | (128,116) | 46,614 | (256,232) | | (550,808) | (349,461) | 201,348 |
| Tenant Services | | | | | | | | |
| Resident Managers | (2,750) | (1,350) | 1,400 | (5,500) | | (5,500) | (5,500) | 0 |
| Recreation | (3,750) | (147) | 3,603 | (7,500) | | (7,500) | (7,500) | 0 |
| Total | (6,500) | (1,497) | 5,003 | (13,000) | | (13,000) | (13,000) | 0 |
| Utilities | | | | | | | | |
| Water | (37,000) | (28,801) | 8,199 | (74,000) | | (74,000) | (74,000) | 0 |
| Electricity | (9,500) | (8,741) | 759 | (17,482) | | (19,000) | (19,000) | 0 |
| Gas | (1,300) | (633) | 668 | (1,266) | | (2,600) | (2,600) | 0 |
| Sewage | (23,800) | (12,133) | 11,667 | (47,600) | | (47,600) | (47,600) | 0 |
| Total | (71,600) | (50,309) | 21,293 | (140,348) | | (143,199) | (143,199) | 0 |
| Maintenance | | | | | | | | |
| Salaries | (34,992) | (35,370) | (378) | (70,740) | B-2 | (139,820) | (69,983) | 69,836 |
| Materials | (31,980) | (25,747) | 6,233 | (65,388) | D | (63,960) | (63,960) | 0 |
| Contract Costs | (297,079) | (111,493) | 185,586 | (616,835) | D | (466,552) | (594,158) | (127,606) |
| Total | (364,050) | (172,609) | 191,441 | (752,962) | | (670,332) | (728,101) | (57,769) |
| General | | | | | | | | |
| Insurance | (40,356) | (20,352) | 20,005 | (67,214) | E | (80,712) | (80,712) | 0 |
| Tax-In Lieu Of | (19,521) | (33,087) | (13,567) | (66,175) | | (66,175) | (39,041) | 27,134 |
| Employee Benefits | (77,284) | (49,097) | 28,188 | (154,569) | | (261,633) | (154,569) | 107,064 |
| Collection Loss | (500) | 0 | 500 | 0 | | (1,000) | (1,000) | 0 |
| Miscellaneous | (500) | 0 | 500 | 0 | | (1,000) | (1,000) | 0 |
| Total | (138,161) | (102,536) | 35,626 | (287,958) | | (410,520) | (276,322) | 134,198 |
| Total Routine Expenses | (755,042) | (455,067) | 299,977 | (1,450,500) | | (1,787,859) | (1,510,083) | 277,776 |
| Capital Expenditure-exterior renovation of Emery Glen | | | | (500,000) | | 0 | (500,000) | (500,000) |
| TOTAL EXPENSES | (755,042) | (455,067) | 299,977 | (1,950,500) | | (1,787,859) | (2,010,083) | (222,224) |
| NET INCOME (DEFICIT) | (266) | 143,996 | 144,264 | 9,023 | | (81,280) | (533) | 80,747 |

Unrestricted Net Assets @ 6/30/12
Projected Income/(Deficit) @ 6/30/13
Projected Unrestricted Net Assets @ 6/30/13

\$ 1,318,585
9,023
\$ 1,327,608

PROGRAM ACTIVITY

REPORT

HOUSING AUTHORITY OF THE COUNTY OF ALAMEDA

AGENDA STATEMENT

Meeting: February 13, 2013

Subject: Programs Activity Report

Exhibits Attached: Section 8 Contract Report; Section 8 Average Contract Rent Report; Fraud Payments Report; Landlord Rental Listing Report; FSS Program Monthly Report

Recommendation: Receive Report

Financial Statement: None

SECTION 8 HOUSING CHOICE VOUCHERS

- **Lease-Up:** As of February 1, 2013, the Section 8 Housing Choice Voucher program had 5,772 units under contract. The fiscal year-to-date lease-up average is 96.23% units. The budget authority use average through December 2012 is 99.7%.
- **Program Utilization:** As of February 1, 2013, the average HAP subsidy is \$1,046 and the average tenant-paid rent portion is \$401 for an average Contract Rent of \$1,447.
 - ❖ As of February 1, 2013, HACA had 74 outgoing billed portability contracts (i.e., HACA voucher holders who are housed in another housing authority's jurisdiction).
 - ❖ As of February 1, 2013, HACA billed other housing authorities, primarily the Oakland Housing Authority, for 1,648 incoming portability contracts. HACA receives only 80% of the HUD-authorized Administrative Fee for billed incoming portability contracts.
- **Section 8 Contract Report:** A copy of the Contract Report is attached.
- **Fraud / Debt Recovery:** HACA retained \$2,079.05 in fraud and debt recovery payments for the month of December 2012. A total of \$15,021.17 was retained over the last six months.
- **Landlord Rental Listings:** As of February 4, 2013, there were 1,579 landlords with properties in HACA's jurisdiction utilizing the *GoSection8* rental listing service. There were five new landlords added to the Section 8 program this month. There were 44 active properties listed.

FAMILY SELF SUFFICIENCY (FSS)

January is the month when the FSS Coordinators audit all the participant files and develop the annual report. The major outcomes are shown in the FSS Monthly Report and include:

- 197 families participated during 2012.
- The program's focus continued to be on employment. 179 families received employment counseling and job referrals.
- 80 people are working full time and 39 are working part time.
- Participants in FSS strive to obtain employment that generates a self-sufficiency wage. Staff counsel employed individuals to help them increase their income through promotion or moving to better jobs. 56 households increased their earned income this year an average of \$4,447.
- 69 participants completed post-secondary courses. In most instances, these students are single parents who are working full- or part-time.

PUBLIC HOUSING

- **Occupancy:** As of February 1, 2013, the Public Housing program had 68 of 72 units leased and has a 98.29% fiscal year-to-date lease up rate.

HOUSING AUTHORITY OF THE COUNTY OF ALAMEDA

Section 8 Contract and HAP Report for the month of January 2013

| | Certificates | | Vouchers | | January 2013 TOTAL | | | |
|---------------|--------------|--------------|----------|----------------|-----------------------|----------------|-----------------|-----------------|
| City | Number | HAP* | Number | HAP** | Number | HAP | January 2012 | January 2011 |
| Albany | - | \$ - | 35 | \$ 36,610 | 35 | \$ 36,610 | 39 | 46 |
| Castro Valley | 14 | \$ 12,334 | 229 | \$ 239,534 | 243 | \$ 251,868 | 251 | 249 |
| Dublin | 2 | \$ 1,762 | 292 | \$ 305,432 | 294 | \$ 307,194 | 304 | 281 |
| Emeryville | 6 | \$ 5,286 | 107 | \$ 111,922 | 113 | \$ 117,208 | 111 | 92 |
| Fremont | 30 | \$ 26,430 | 1,325 | \$ 1,385,950 | 1,355 | \$ 1,412,380 | 1,426 | 1,414 |
| Hayward | 116 | \$ 102,196 | 2,450 | \$ 2,562,700 | 2,566 | \$ 2,664,896 | 2,541 | 2,453 |
| Newark | 2 | \$ 1,762 | 278 | \$ 290,788 | 280 | \$ 292,550 | 286 | 297 |
| Pleasanton | 4 | \$ 3,524 | 135 | \$ 141,210 | 139 | \$ 144,734 | 167 | 165 |
| San Leandro | 16 | \$ 14,096 | 1,442 | \$ 1,508,332 | 1,458 | \$ 1,522,428 | 1,426 | 1,366 |
| San Lorenzo | 2 | \$ 1,762 | 229 | \$ 239,534 | 231 | \$ 241,296 | 215 | 197 |
| Union City | 4 | \$ 3,524 | 855 | \$ 894,330 | 859 | \$ 897,854 | 774 | 710 |
| TOTALS | 196 | \$172,676.00 | 7,377 | \$7,716,342.00 | 7,573 | \$7,889,018.00 | 7,540 | 7,270 |

*Based on an average January Housing Assistance Payment (HAP) of \$881 per certificate contract

**Based on an average January Housing Assistance Payment (HAP) of \$1046 per voucher contract

HOUSING AUTHORITY OF THE COUNTY OF ALAMEDA

Section 8 Average Contract Rent Report for the Month of: January 2013

| City | Number of HAP Contracts | Average Contract Rent | Average HAP Paid by HACA | Average Rent Paid by Family | Average Family- Paid Rent as a Percentage of Average Contract Rent |
|---------------|--|--------------------------------------|---|--|---|
| Albany | 37 | \$1,310 | \$1,026 | \$284 | 22% |
| Castro Valley | 230 | \$1,364 | \$932 | \$433 | 32% |
| Dublin | 274 | \$1,609 | \$1,199 | \$410 | 25% |
| Emeryville | 106 | \$1,231 | \$857 | \$374 | 30% |
| Fremont | 1,334 | \$1,565 | \$1,121 | \$444 | 28% |
| Hayward | 2,452 | \$1,351 | \$977 | \$373 | 28% |
| Newark | 274 | \$1,793 | \$1,254 | \$539 | 30% |
| Pleasanton | 135 | \$1,351 | \$950 | \$400 | 30% |
| San Leandro | 1,429 | \$1,371 | \$990 | \$381 | 28% |
| San Lorenzo | 225 | \$1,639 | \$1,202 | \$437 | 27% |
| Union City | 775 | \$1,629 | \$1,210 | \$419 | 26% |

*Some rents may vary by \$1 due to rounding

2012-2013

DEBT COLLECTIONS

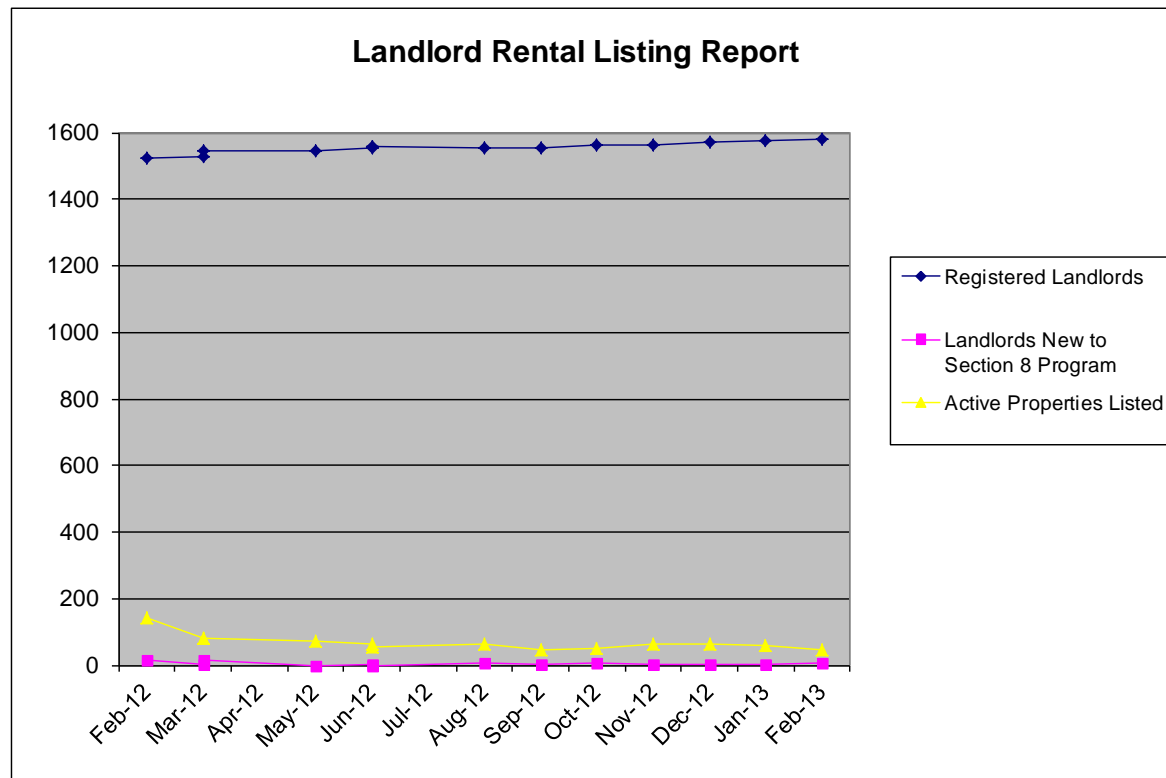
FYE 06/30/13

| | JULY | AUGUST | SEPTEMBER | OCTOBER | NOVEMBER | DECEMBER | JANUARY | FEBRUARY | MARCH | APRIL | MAY | JUNE | GRAND |
|-------------------------|-------------------|-------------------|-------------------|-------------------|-------------------|-------------------|---------------|---------------|---------------|---------------|---------------|---------------|--------------------|
| | | | | | | | | | | | | | TOTALS |
| <i>DAMAGE CLAIMS</i> | \$0.00 | \$150.00 | \$0.00 | \$0.00 | \$50.00 | \$50.00 | | | | | | | \$250.00 |
| <i>FRAUD REPAYMENTS</i> | \$2,719.93 | \$2,507.22 | \$2,861.70 | \$2,712.85 | \$2,140.42 | \$2,079.05 | | | | | | | \$15,021.17 |
| TOTALS | \$2,719.93 | \$2,657.22 | \$2,861.70 | \$2,712.85 | \$2,190.42 | \$2,129.05 | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$15,271.17 |

Landlord Rental Listing Report

Monthly

| | 2/1/2012 | 3/1/2012 | 3/29/2012 | 5/1/2012 | 6/1/2012 | 6/29/2012 | 8/1/2012 | 9/4/2012 | 10/1/2012 | 11/1/2012 | 12/1/2012 | 1/2/2013 | 2/4/2013 |
|---|----------|----------|-----------|----------|----------|-----------|----------|----------|-----------|-----------|-----------|----------|----------|
| Registered Landlords | 1523 | 1527 | 1544 | 1547 | 1552 | 1558 | 1552 | 1556 | 1562 | 1565 | 1572 | 1575 | 1579 |
| Landlords New to Section 8 Program | 16 | 2 | 15 | 0 | 4 | 0 | 6 | 3 | 6 | 2 | 3 | 3 | 5 |
| Active Properties Listed | 141 | 79 | 82 | 70 | 64 | 55 | 64 | 47 | 52 | 63 | 65 | 61 | 44 |





To: Christine Gouig, Executive Director
From: Sharon DeCray, HAFS Manager
Re: **FSS Program Summary**
CC: Ron Dion, Linda Evans, Phyllis Harrison, Mary Sturges
Date: February 4, 2013

| Program Summary | January 2013 |
|-------------------------------|---------------------|
| Total Clients Under Contract: | 155 |
| Graduates: | 1 |
| Escrow Disbursed: | \$61,948.66 |
| Ports In: | 0 |
| Ports Out: | 0 |
| Terminations: | 3 |
| New Contracts: | 3 |

FSS PROGRAM NEWS:

FSS Annual Program Report: January - December 2012

FSS staff audited 197 participant files in preparation for our annual program report. Some of the highlights are:

- 56 families increased their household annual income with an average dollar increase of \$4,447.00.
- 3 families relinquished their Section 8 Voucher and purchased a home.
- 43 households increased their self-sufficiency earned income.
- 3 families had a reduction in welfare assistance.
- 3 families ceased receiving welfare.
- 179 families received employment counseling and / or job referrals.
- 80 individuals were employed full-time.
- 39 individuals were employed part-time.
- 19 participants successfully graduated from the FSS program.
- 6 participants enrolled in college.
- 69 individuals completed post-secondary courses.
- 3 participants obtained an AA degree.
- 2 participants obtained a BA degree.

Referrals= 14

ATTACHMENT A

Chapter 6

INCOME AND SUBSIDY DETERMINATIONS

[24 CFR Part 5, Subparts E and F; 24 CFR 982]

INTRODUCTION

A family's income determines eligibility for assistance and is also used to calculate the family's payment and HACA's subsidy. HACA will use the policies and methods described in this chapter to ensure that only eligible families receive assistance and that no family pays more or less than its obligation under the regulations. This chapter describes HUD regulations and HACA policies related to these topics in three parts as follows:

- Part I: Annual Income. HUD regulations specify the sources of income to include and exclude to arrive at a family's annual income. These requirements and HACA policies for calculating annual income are found in Part I.
- Part II: Adjusted Income. Once annual income has been established HUD regulations require HACA to subtract from annual income any of five mandatory deductions for which a family qualifies. These requirements and HACA policies for calculating adjusted income are found in Part II.
- Part III: Calculating Family Share and HACA Subsidy. This part describes the statutory formula for calculating total tenant payment (TTP), the use of utility allowances, and the methodology for determining HACA subsidy and required family payment.

6-I.C. ~~ANTICIPATING DETERMINING~~ ANNUAL INCOME

PHAs are required to count all annual income set forth in 24 CFR 5.609. Policies related to using past income and anticipating annual income are provided below.

~~Basis of for Determining Annual Income Projection~~

In determining annual income, PHAs may choose to use either actual past income or projected future income [Notice PIH 2013-3 (HA)]. If the PHA uses projected future income to determine annual income, the PHA, generally, will use current circumstances to determine anticipated income for the coming 12-month period. HUD authorizes PHAs to use other than current circumstances to anticipate income when:

- An imminent change in circumstances is expected [HCV GB, p. 5-17]
- The family reports little to no income [24 CFR 5.609(a)(2)(ii)(A)]
- The PHA is unable to determine annual income due to fluctuations in income (e.g., seasonal or cyclic income) [24 CFR 5.609(a)(2)(ii)(B)]

PHAs are required to use HUD's Enterprise Income Verification (EIV) system in its entirety as a third party source to verify employment and income information, and to reduce administrative subsidy payment errors in accordance with HUD administrative guidance [24 CFR 5.233(a)(2)].

In using projected future income, HUD allows PHAs to use pay-stubs to project income once EIV data has been received in such cases where the family does not dispute the EIV employer data and where the PHA does not determine it is necessary to obtain additional third-party data.

In using actual past income, PHAs determine annual income based on past actual income received or earned within the last 12 months.

In using actual past income, PHAs must use the most recent 12 months of income information available in EIV. Because this EIV report will give actual earnings data verified by a third party, the program participant is no longer required to provide third party documentation (e.g., paystubs, payroll summary report, unemployment monetary benefit notice). PHAs must continue to verify income from sources not available in EIV. However, PHAs must use the same time period for both wage and non-wage income.

In using actual past income, if there has been a change in circumstances for a tenant, or a tenant disputes the EIV-reported income information and is unable to provide acceptable documentation to resolve the dispute, the PHA must request written third-party verification.

HACA Policy

In determining annual income, HACA will use actual past income.

If there is no income information available in EIV, HACA will determine annual income based on past actual income received or earned within the last 12 months.

In using projected future income, When EIV data are obtained and the family does not dispute the EIV employer data, HACA will use current tenant-provided documents to project annual income. When the tenant-provided documents are pay stubs, HACA will

6-I.G. ASSETS [24 CFR 5.609(b)(3) and 24 CFR 5.603(b) [and PIH 2013-3](#)]

Overview

There is no asset limitation for participation in the HCV program. However, HUD requires that HACA include in annual income the "interest, dividends, and other net income of any kind from real or personal property" [24 CFR 5.609(b)(3)]. This section discusses how the income from various types of assets is determined. For most types of assets, HACA must determine the value of the asset in order to compute income from the asset. Therefore, for each asset type, this section discusses:

- How the value of the asset will be determined
- How income from the asset will be calculated

Exhibit 6-1 provides the regulatory requirements for calculating income from assets [24 CFR 5.609(b)(3)], and Exhibit 6-3(a) provides the regulatory definition of *net family assets*. This section begins with a discussion of general policies related to assets and then provides HUD rules and HACA policies related to each type of asset.

General Policies

Income from Assets

Families with assets are required to report all assets annually. The amount of interest earned on those assets is included as income used to calculate the tenant's rent obligation. Where the family has net family assets equal to or less than \$5,000, HACA will accept the family's declaration of the amount of assets of less than \$5,000, and the amount of income expected to be received from those assets. Where the family has net family assets in excess \$5000, HACA, generally, will use current circumstances to determine both the value of an asset and the anticipated income from the asset. As is true for all sources of income, HUD authorizes HACA to use other than current circumstances to anticipate income when (1) an imminent change in circumstances is expected (2) it is not feasible to anticipate a level of income over 12 months or (3) HACA believes that past income is the best indicator of anticipated income. For example, if a family member owns real property that typically receives rental income but the property is currently vacant, HACA can take into consideration past rental income along with the prospects of obtaining a new tenant.

HACA Policy

Where the family has net family assets equal to or less than \$5,000, HACA will accept the family's declaration of the amount of assets of less than \$5,000, and the amount of income expected to be received from those assets. Where the family has net family assets in excess \$5,000, HACA, generally, will use current circumstances to determine the anticipated income from the asset. HACA will use other than current circumstances to anticipate income when (1) an imminent change in circumstances is expected (2) it is not feasible to anticipate a level of income over 12 months or (3) HACA believes that past income is the best indicator of anticipated income.

Anytime current circumstances are not used to determine asset income, a clear rationale for the decision will be documented in the file. In such cases the family may present

information and documentation to HACA to show why the asset income determination does not represent the family's anticipated asset income.

Valuing Assets

The calculation of asset income sometimes requires HACA to make a distinction between an asset's market value and its cash value.

- The market value of an asset is its worth (e.g., the amount a buyer would pay for real estate or the balance in an investment account).
- The cash value of an asset is its market value less all reasonable amounts that would be incurred when converting the asset to cash.

HACA Policy

Where the family has net family assets equal to or less than \$5,000, HACA will accept the family's declaration of the value of those assets. Where the family has net family assets in excess \$5,000, HACA, generally, will use current circumstances to determine the value of an asset. HACA will use other than current circumstances to anticipate value when (1) an imminent change in circumstances is expected, or (2) HACA believes that past value is the best indicator of current value.

Anytime current circumstances are not used to determine the value of an asset, a clear rationale for the decision will be documented in the file. In such cases the family may present information and documentation to HACA to show why the value of the asset does not represent the family's anticipated asset income.

Reasonable costs that would be incurred when disposing of an asset include, but are not limited to, penalties for premature withdrawal, broker and legal fees, and settlement costs incurred in real estate transactions [HCV GB, p. 5-28].

Lump-Sum Receipts

Payments that are received in a single lump sum, such as inheritances, capital gains, lottery winnings, insurance settlements, and proceeds from the sale of property, are generally considered assets, not income. However, such lump-sum receipts are counted as assets only if they are retained by a family in a form recognizable as an asset (e.g., deposited in a savings or checking account) [RHIP FAQs]. (For a discussion of lump-sum payments that represent the delayed start of a periodic payment, most of which are counted as income, see sections 6-I.H and 6-I.I.)

Imputing Income from Assets [24 CFR 5.609(b)(3)]

When net family assets are \$5,000 or less, HACA will include in annual income the actual income anticipated to be derived from the assets. When the family has net family assets in excess of \$5,000, HACA will include in annual income the greater of (1) the actual income derived from the assets or (2) the imputed income. Imputed income from assets is calculated by multiplying the total cash value of all family assets by the current HUD-established passbook savings rate.

Determining Actual Anticipated Income from Assets

It may or may not be necessary for HACA to use the value of an asset to compute the actual anticipated income from the asset. When the value is required to compute the anticipated income from an asset, the market value of the asset is used. For example, if the asset is a property for which a family receives rental income, the anticipated income is determined by annualizing the

Chapter 7

VERIFICATION

[24 CFR 982.516, 24 CFR 982.551, 24 CFR 5.230, Notice PIH 2010-19, PIH 2013-03 (HA), PIH 2014-04 (HA)]

INTRODUCTION

The PHA must verify all information that is used to establish the family's eligibility and level of assistance and is required to obtain the family's consent to collect the information. Applicants and program participants must cooperate with the verification process as a condition of receiving assistance. The PHA must not pass on the cost of verification to the family.

The PHA will follow the verification guidance provided by HUD in Notice PIH 2010-19, PIH 2013-03 (HA), PIH 2013-04 (HA) and any subsequent guidance issued by HUD. This chapter summarizes those requirements and provides supplementary HACA policies.

Part I describes the general verification process. More detailed requirements related to individual factors are provided in subsequent parts including family information (Part II), income and assets (Part III), and mandatory deductions (Part IV).

Verification policies, rules and procedures will be modified as needed to accommodate persons with disabilities. All information obtained through the verification process will be handled in accordance with the records management policies of HACA.

PART I: GENERAL VERIFICATION REQUIREMENTS

7-I.A. FAMILY CONSENT TO RELEASE OF INFORMATION [24 CFR 982.516 AND 982.551, 24 CFR 5.230]

The family must supply any information that HACA or HUD determines is necessary to the administration of the program and must consent to HACA verification of that information [24 CFR 982.551].

Consent Forms

It is required that all adult applicants and participants sign form HUD-9886, Authorization for Release of Information. The purpose of form HUD-9886 is to facilitate automated data collection and computer matching from specific sources and provides the family's consent only for the specific purposes listed on the form. HUD and HACA may collect information from State Wage Information Collection Agencies (SWICAs) and current and former employers of adult family members. Only HUD is authorized to collect information directly from the Internal Revenue Service (IRS) and the Social Security Administration (SSA). Adult family members must sign other consent forms as needed to collect information relevant to the family's eligibility and level of assistance.

Penalties for Failing to Consent [24 CFR 5.232]

If any family member who is required to sign a consent form fails to do so, HACA will deny admission to applicants and terminate assistance of participants. The family may request an

7-I.B. OVERVIEW OF VERIFICATION REQUIREMENTS

HUD's Verification Hierarchy [Notice PIH 2010-19]

HUD authorizes PHAs to use six methods to verify family information and specifies the circumstances in which each method will be used. In general HUD requires PHAs to use the most reliable form of verification that is available and to document the reasons when the PHA uses a lesser form of verification.

HACA Policy

In order of priority, the forms of verification that HACA will use are:

- Up-front Income Verification (UIV) using HUD's Enterprise Income Verification (EIV) system
- Up-front Income Verification (UIV) using a non-HUD system
- Written Third Party Verification (may be provided by applicant or participant)
- Written Third-party Verification Form
- Oral Third-party Verification
- Self-Certification

Each of the verification methods is discussed in subsequent sections below.

Requirements for Acceptable Documents

HACA Policy

Any documents used for verification must be the original (not photocopies) and generally must be dated within 60 days of the date they are provided to HACA. The documents must not be damaged, altered or in any way illegible.

Print-outs from Web pages are considered original documents.

HACA staff member who views the original document must make a photocopy, annotate the copy with the name of the person who provided the document and the date the original was viewed, and sign the copy.

Any family self-certifications must be made in a format acceptable to HACA.

File Documentation

PHAs must document in the file how the figures used in income and rent calculations were determined. All verification attempts, information obtained, and decisions reached during the verification process will be recorded in the family's file in sufficient detail to demonstrate that the PHA has followed all of the verification policies set forth in this plan. The record should be sufficient to enable a staff member or HUD reviewer to understand the process followed and conclusions reached.

HACA Policy

HACA will document, in the family file, the following:

- Reported family annual income
- Value of assets of \$5,000 or more and a participant's declaration of the amount of assets of less than \$5,000
- Expenses related to deductions from annual income
- Other factors influencing the adjusted income or income-based rent determination

When HACA is ~~attempting unable~~ to obtain ~~and use~~ 3rd party verification ~~but is unable to do so~~, HACA will document in the family file the reason that third-party verification was not available [24 CFR 960.259(c)(1); Notice PIH 2010-19]

7-I.C. UP-FRONT INCOME VERIFICATION (UIV)

Up-front income verification (UIV) refers to a PHA's use of the verification tools available from independent sources that maintain computerized information about earnings and benefits.

There may be legitimate differences between the information provided by the family and UIV-generated information. If the family disputes the accuracy of UIV data, no adverse action can be taken until the PHA has independently verified the UIV information and the family has been granted an opportunity to contest any adverse findings through the informal review/hearing process of the PHA.

See Chapter 6 for the PHA's policy on the use of UIV/EIV to ~~project~~ determine annual income.

Upfront Income Verification Using HUD's Enterprise Income Verification (EIV) System (Mandatory)

HUD's EIV system contains data showing earned income, unemployment benefits, social security benefits, and SSI benefits for participant families. HUD requires PHAs to use the EIV system in its entirety. The following policies apply to HACA's use of HUD's EIV system.

EIV Income Reports

The data shown on income reports is updated quarterly. Data may be between 3 and 6 months old at the time reports are generated.

HACA Policy

HACA will obtain income reports for annual reexaminations on a monthly basis. Reports will be generated as part of the regular reexamination process.

~~Income reports will be compared to family provided information as part of the annual reexamination process.~~ Income reports may be used in the calculation of annual income, as described in Chapter 6-I.C. Income reports may also be used to meet the regulatory requirement for third party verification, as described above. Policies for resolving discrepancies between income reports and family-provided information will be resolved as described in Chapter 6-I.C. and in this chapter.

Income reports will be used in interim reexaminations to identify any discrepancies between reported income and income shown in the EIV system, and as necessary to verify and calculate earned income, unemployment benefits, Social Security and/or SSI benefits. EIV will also be used to verify that families claiming zero income are not receiving income from any of these sources.

Income reports will be retained in participant files with the applicable annual or interim reexamination documents.

When HACA determines through income reports and third-party verification that a family has concealed or under-reported income, corrective action will be taken pursuant to the policies in Chapter 14, Program Integrity.

EIV Discrepancy Reports

The EIV discrepancy report is a tool for identifying families who may have concealed or under-reported income. Data in the discrepancy report represents income for past reporting periods and may be between 6 months and 30 months old at the time reports are generated.

Families who have not concealed or under-reported income may appear on the discrepancy report in some circumstances, such as loss of a job or addition of new family members.

Income discrepancies may be identified through use of the EIV "Income Discrepancy Report" or by review of the discrepancy tab for the individual family.

HACA Policy

HACA will generate the Income Discrepancy Report at least once every 6 months.

When HACA determines that a participant appearing on the Income Discrepancy Report has not concealed or under-reported income, the participant's name will be placed on a list of "false positive" reviews. To avoid multiple reviews in this situation, participants appearing on this list will be eliminated from discrepancy processing until a subsequent interim or annual reexamination has been completed.

HACA will review the EIV discrepancy tab during processing of annual and interim reexaminations.

When it appears that a family may have concealed or under-reported income, HACA will request written third-party verification of the income in question.

When HACA determines through file review and third party verification that a family has concealed or under-reported income, corrective action will be taken pursuant to the policies in Chapter 14, Program Integrity.

EIV Identity Verification

The EIV system verifies tenant identities against SSA records. These records are compared to PIC data for a match on social security number, name, and date of birth.

PHAs are required to use EIV's *Identity Verification Report* on a monthly basis to improve the availability of income information in EIV [Notice PIH2012-10].

When identity verification for a participant fails, a message is displayed within the EIV system and no income information is displayed.

HACA Policy

HACA will identify participants whose identity verification has failed by reviewing EIV's *Identity Verification Report* on a monthly basis.

HACA will attempt to resolve PIC/SSA discrepancies by obtaining appropriate documentation from the participant. When HACA determines that discrepancies exist due to HACA errors such as spelling errors or incorrect birth dates, the errors will be corrected promptly.

Upfront Income Verification Using Other Than HUD's Enterprise Income Verification (EIV) System (Optional)

In addition to mandatory use of the EIV system, HUD encourages PHAs to utilize other upfront verification sources.

HACA Policy

HACA will inform all applicants and participants of its use of the following UTV resources during the admission and reexamination process:

HUD's EIV system

CalWIN (California Work Opportunity and Responsibility to Kids Information Network)

The Work Number

The California Employment Development Department (EDD) computer matching system

Published cost of living adjustments for elderly families and disabled families when 100 percent of the family's income consists of fixed income. Fixed income includes income from:

1. Social Security payments to include Supplemental Security Income (SSI) and Supplemental Security Disability Insurance (SSDI);
2. Federal, State, local, and private pension plans; and
3. Other periodic payments received from annuities, insurance policies, retirement funds, disability or death benefits, and other similar types of periodic receipts that are of substantially the same amounts from year to year.

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7-I.D. THIRD-PARTY WRITTEN AND ORAL VERIFICATION

HUD's current verification hierarchy defines two types of written third-party verification. The more preferable form, "written third-party verification," consists of an original document generated by a third-party source, which may be received directly from a third-party source or provided to the PHA by the family. If written third-party verification is not available, the PHA must attempt to obtain a "written third-party verification form." This is a standardized form used to collect information from a third party.

Written Third-Party Verification [Notice PIH 2010-19]

Written third-party verification documents must be original and authentic and may be supplied by the family or received from a third-party source.

Examples of acceptable tenant-provided documents include, but are not limited to: pay stubs, payroll summary reports, employer notice or letters of hire and termination, SSA benefit verification letters, bank statements, child support payment stubs, welfare benefit letters and/or printouts, and unemployment monetary benefit notices.

The PHA is required to obtain, at minimum, two current and consecutive pay stubs for determining annual income from wages.

The PHA may reject documentation provided by the family if the document is not an original, if the document appears to be forged, or if the document is altered, mutilated, or illegible.

HACA Policy

Third-party documents provided by the family must be dated within 60 days of HACA's request date.

If HACA determines that third-party documents provided by the family are not acceptable, HACA will explain the reason to the family and request additional documentation.

As verification of earned income, HACA will request pay stubs covering the 60-day period prior to the PHA's request.

In using actual past income to determine annual income as described in Chapter 6-I.C., when HACA utilizes the EIV income report to determine annual income, the participant is not required to provide third party documentation for the income sources listed on the EIV income report. However, if there has been a change in circumstances for a tenant or a tenant disputes the EIV-reported income information and is unable to provide acceptable documentation to resolve the dispute, HACA will request written third-party verification. For example, if a program participant lost his/her job, changed jobs, or reduced their hours in the months subsequent to the time period covered in EIV, HACA must use, at the participant's request, the more recent income information verified by participant provided third-party documentation or through written third-party verification, which reflects the new or current work circumstance.

PART III: VERIFYING INCOME AND ASSETS

Chapter 6, Part I of this plan describes in detail the types of income that are included and excluded and how assets and income from assets are handled. Any assets in excess of \$5,000 and income reported by the family, other than fully excluded income, must be verified. This part provides HACA policies that supplement the general verification procedures specified in Part I of this chapter.

7-III.A. EARNED INCOME

Tips

HACA Policy

Unless tip income is included in a family member's W-2 by the employer, persons who work in industries where tips are standard will be required to sign a certified estimate of tips received for the prior year and tips anticipated to be received in the coming year.

7-III.B. BUSINESS AND SELF EMPLOYMENT INCOME

HACA Policy

Business owners and self-employed persons will be required to provide:

An audited financial statement for the previous fiscal year if an audit was conducted. If an audit was not conducted, a statement of income and expenses must be submitted and the business owner or self-employed person must certify to its accuracy.

All schedules completed for filing federal and local taxes in the preceding year.

If accelerated depreciation was used on the tax return or financial statement, an accountant's calculation of depreciation expense, computed using straight-line depreciation rules.

HACA will provide a format for any person who is unable to provide such a statement to record income and expenses for the coming year. The business owner/self-employed person will be required to submit the information requested and to certify to its accuracy at all future reexaminations.

At any reexamination HACA may request documents that support submitted financial statements such as manifests, appointment books, cash books, or bank statements.

If a family member has been self-employed less than three (3) months, HACA will accept the family member's certified estimate of income and schedule an interim reexamination in three (3) months. If the family member has been self-employed for three (3) to twelve (12) months HACA will require the family to provide documentation of income and expenses for this period and use that information to project income.

7-III.C. PERIODIC PAYMENTS AND PAYMENTS IN LIEU OF EARNINGS

Social Security/SSI/SSDI Benefits

HACA Policy

To verify the SS/SSI benefits of applicants, HACA will request a current (dated within the last 60 days) SSA benefit verification letter from each family member that receives social security benefits. If the family is unable to provide the document(s), HACA will ask the family to request a benefit verification letter from SSA's Web site at www.socialsecurity.gov or by calling SSA at 1-800-772-1213. Once the applicant has received the benefit verification letter, s/he will be required to provide it to HACA.

To verify the SS/SSI benefits of participants, HACA will obtain information about social security/SSI benefits through the HUD EIV System, and confirm with the participant(s) that the current listed benefit amount is correct. If the participant disputes the EIV-reported benefit amount, or if benefit information is not available in HUD systems, HACA will request a current SSA benefit verification letter from each family member that receives social security benefits. If the family is unable to provide the document(s) HACA will ask the family to request a benefit verification letter from SSA's Web site at www.socialsecurity.gov or by calling SSA at 1-800-772-1213. Once the participant has received the benefit verification letter they will be required to provide it to HACA.

For elderly and disabled families where 100 percent of the family's income consists of fixed income, HACA will recalculate family incomes by applying any published cost of living adjustments to the previously verified income amount (PIH 2013-3).

Federal, State, local and Private Pension Plans and other Periodic Payments (PIH 2013-3)

HACA Policy

For elderly and disabled families where 100 percent of the family's income consists of fixed income, HACA will recalculate family incomes by applying any published cost of living adjustments to the previously verified income amount. Fixed income includes income from Federal, State, local, and private pension plans and other periodic payments received from annuities, insurance policies, retirement funds, disability or death benefits, and other similar types of periodic receipts that are of substantially the same amounts from year to year.

Chapter 11

REEXAMINATIONS

INTRODUCTION

HACA is required to reexamine each family's income and composition at least annually, and to adjust the family's level of assistance accordingly. Interim reexaminations are also needed in certain situations. This chapter discusses both annual and interim reexaminations, and the recalculation of family share and subsidy that occurs as a result. HUD regulations and HACA policies concerning reexaminations are presented in three parts:

Part I: Annual Reexaminations. This part discusses the process for conducting annual reexaminations.

Part II: Interim Reexaminations. This part details the requirements for families to report changes in family income and composition between annual reexaminations.

Part III: Recalculating Family Share and Subsidy Amount. This part discusses the recalculation of family share and subsidy amounts based on the results of annual and interim reexaminations.

Policies governing reasonable accommodation, family privacy, required family cooperation, and program abuse, as described elsewhere in this plan, apply to both annual and interim reexaminations.

PART I: ANNUAL REEXAMINATIONS [24 CFR 982.516, Notices PIH 2013-03 (HA), PIH 2013-04 (HA)]

11-I.A. OVERVIEW

PHAs must conduct a reexamination of family income and composition at least annually. This includes gathering and verifying current information about family composition, income, and expenses. Based on this updated information, the family's income and rent must be recalculated.

PHAs may opt to conduct a streamlined reexamination of income for elderly families and disabled families when 100 percent of the family's income consists of fixed income. In a streamlined reexamination, PHAs will recalculate family incomes by applying any published cost of living adjustments to the previously verified income amount.

This part discusses the schedule for annual reexaminations, the information to be collected and verified, and annual reexamination effective dates.

HACA Policy

HACA opts to conduct a streamlined reexamination of income for elderly families and disabled families when 100 percent of the family's income consists of fixed income. HACA will recalculate family incomes by applying any published cost of living adjustments to the previously verified income amount.

The term 'fixed income' includes income from:

1. Social Security payments to include Supplemental Security Income (SSI) and Supplemental Security Disability Insurance (SSDI);
2. Federal, State, local, and private pension plans; and
3. Other periodic payments received from **annuities**, insurance policies, retirement funds, disability or death benefits, and other similar types of periodic receipts that are of substantially the same amounts from year to year.

HACA Policy

Changes to payment standard amounts will be effective on December 1st of every year, unless based on the proposed FMRs, it appears that one or more of HACA's current payment standard amounts will be outside the basic range when the final FMRs are published. In that case, HACA's payment standards will be effective October 1st instead of December 1st.

If HACA has already processed reexaminations that will be effective on or after October 1st, and the effective date of the payment standards is October 1st, HACA will make retroactive adjustments to any such reexaminations if the new payment standard amount is higher than the one used by HACA at the time the reexamination was originally processed.

Exception Payment Standards [982.503(c)]

HACA must request HUD approval to establish payment standards that are higher than the basic range. At HUD's sole discretion, HUD may approve a payment standard amount that is higher than the basic range for a designated part of the FMR area. HUD may approve an exception payment standard amount (in accordance with program requirements) for all units, or for all units of a given size, leased by program families in the exception area. Any PHA with jurisdiction in the exception area may use the HUD-approved exception payment standard amount. The total population of all HUD-approved exception areas in an FMR area may not include more than 50 percent of the population of the FMR area.

Unit-by-Unit Exceptions [24 CFR 982.503(c)(2)(ii) , 24 CFR 982.505(d), Notice PIH 2010-26, Notice PIH 2013-03 (HA)]

Unit-by-unit exceptions to HACA's payment standards generally are not permitted. However, an exception may be made as a reasonable accommodation for a family that includes a person with disabilities. (See Chapter 2 for a discussion of reasonable accommodations.) This type of exception does not affect HACA's payment standard schedule.

When needed as a reasonable accommodation, HACA may make an exception to the payment standard without HUD approval if the exception amount does not exceed ~~110-120~~ percent of the applicable FMR for the unit size [~~HCV-GB-7-9~~Notice PIH 2013-03 (HA)]. ~~HACA may request HUD approval for an exception to the payment standard for a particular family if the required amount falls between 110 and 120 percent of the FMR.~~

HACA Policy

A family that requires a reasonable accommodation may request a higher payment standard at the time the Request for Tenancy Approval (RTA) is submitted. The family must document the need for the exception. In order to approve an exception, ~~or request an exception from HUD,~~ HACA must determine that:

There is a shortage of affordable units that would be appropriate for the family;

The family's TTP would otherwise exceed 40 percent of adjusted monthly income; and

The rent for the unit is reasonable.

ATTACHMENT B

| | | |
|-----------------------------------|---|--|
| PHA 5-Year and Annual Plan | U.S. Department of Housing and Urban Development Office of Public and Indian Housing | OMB No. 2577-0226 Expires 4/30/2011 |
|-----------------------------------|---|--|

| | | | | | | |
|------------|--|----------|--------------------------------------|-------------------------------|------------------------------|-----|
| 1.0 | PHA Information PHA Name: Housing Authority of the County of Alameda PHA Code: CA067 PHA Type: <input type="checkbox"/> Small <input checked="" type="checkbox"/> High Performing <input type="checkbox"/> Standard <input type="checkbox"/> HCV (Section 8) PHA Fiscal Year Beginning: (MM/YYYY): 07/2013 | | | | | |
| 2.0 | Inventory (based on ACC units at time of FY beginning in 1.0 above) Number of PH units: 72 Number of HCV units: 5909 | | | | | |
| 3.0 | Submission Type <input type="checkbox"/> 5-Year and Annual Plan <input checked="" type="checkbox"/> Annual Plan Only <input type="checkbox"/> 5-Year Plan Only | | | | | |
| 4.0 | PHA Consortia <input type="checkbox"/> PHA Consortia: (Check box if submitting a joint Plan and complete table below.) | | | | | |
| | Participating PHAs | PHA Code | Program(s) Included in the Consortia | Programs Not in the Consortia | No. of Units in Each Program | |
| | PHA 1: | | | | PH | HCV |
| | PHA 2: | | | | | |
| | PHA 3: | | | | | |
| 5.0 | 5-Year Plan. Complete items 5.1 and 5.2 only at 5-Year Plan update. | | | | | |
| 5.1 | Mission. State the PHA's Mission for serving the needs of low-income, very low-income, and extremely low income families in the PHA's jurisdiction for the next five years: | | | | | |
| 5.2 | Goals and Objectives. Identify the PHA's quantifiable goals and objectives that will enable the PHA to serve the needs of low-income and very low-income, and extremely low-income families for the next five years. Include a report on the progress the PHA has made in meeting the goals and objectives described in the previous 5-Year Plan. | | | | | |
| 6.0 | PHA Plan Update (a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission. (b) Identify the specific location(s) where the public may obtain copies of the 5-Year and Annual PHA Plan. For a complete list of PHA Plan elements, see Section 6.0 of the instructions. See Annual Plan Attachment. | | | | | |
| 7.0 | Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers. Include statements related to these programs as applicable. See Annual Plan Attachment. | | | | | |
| 8.0 | Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable. See Annual Plan Attachment. | | | | | |
| 8.1 | Capital Fund Program Annual Statement/Performance and Evaluation Report. As part of the PHA 5-Year and Annual Plan, annually complete and submit the <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> , form HUD-50075.1, for each current and open CFP grant and CFFP financing. See Annual Plan Attachment. | | | | | |
| 8.2 | Capital Fund Program Five-Year Action Plan. As part of the submission of the Annual Plan, PHAs must complete and submit the <i>Capital Fund Program Five-Year Action Plan</i> , form HUD-50075.2, and subsequent annual updates (on a rolling basis, e.g., drop current year, and add latest year for a five year period). Large capital items must be included in the Five-Year Action Plan. See Annual Plan Attachment. | | | | | |
| 8.3 | Capital Fund Financing Program (CFFP). <input type="checkbox"/> Check if the PHA proposes to use any portion of its Capital Fund Program (CFP)/Replacement Housing Factor (RHF) to repay debt incurred to finance capital improvements. | | | | | |
| 9.0 | Housing Needs. Based on information provided by the applicable Consolidated Plan, information provided by HUD, and other generally available data, make a reasonable effort to identify the housing needs of the low-income, very low-income, and extremely low-income families who reside in the jurisdiction served by the PHA, including elderly families, families with disabilities, and households of various races and ethnic groups, and other families who are on the public housing and Section 8 tenant-based assistance waiting lists. The identification of housing needs must address issues of affordability, supply, quality, accessibility, size of units, and location. See Annual Plan Attachment. | | | | | |
| 9.1 | Strategy for Addressing Housing Needs. Provide a brief description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. Note: Small, Section 8 only, and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan. | | | | | |

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|------|--|
| 10.0 | <p>Additional Information. Describe the following, as well as any additional information HUD has requested.</p> <p>(a) Progress in Meeting Mission and Goals. Provide a brief statement of the PHA's progress in meeting the mission and goals described in the 5-Year Plan. See Annual Plan Attachment.</p> <p>(b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA's definition of "significant amendment" and "substantial deviation/modification." None</p> |
| 11.0 | <p>Required Submission for HUD Field Office Review. In addition to the PHA Plan template (HUD-50075), PHAs must submit the following documents. Items (a) through (g) may be submitted with signature by mail or electronically with scanned signatures, but electronic submission is encouraged. Items (h) through (i) must be attached electronically with the PHA Plan. Note: Faxed copies of these documents will not be accepted by the Field Office.</p> <p>(a) Form HUD-50077, <i>PHA Certifications of Compliance with the PHA Plans and Related Regulations</i> (which includes all certifications relating to Civil Rights)</p> <p>(b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only)</p> <p>(c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only)</p> <p>(d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only)</p> <p>(e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only)</p> <p>(f) Resident Advisory Board (RAB) comments. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations.</p> <p>(g) Challenged Elements</p> <p>(h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only)</p> <p>(i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)</p> |

HUD-50075 Annual Plan Attachment Fiscal Year Beginning: 07/2013

6.0 The following PHA Plan elements have been revised since HACA's last Annual Plan submission:

- 6.1.1 Element #1: Eligibility, Selection and Admission Policies, including Deconcentration and Wait List Procedures;
- 6.1.2 Element #2: Financial Resources;
- 6.1.3 Element #4: Operation and Management; and
- 6.1.4 Element #11: Fiscal Year Audit.

This completed form HUD-50075 with attachments is available at the PHA's Business Office, 22941 Atherton St., Hayward, CA 94541. It's also available on the HACA website at <http://www.haca.net/index.php/phdownloads/category/7-plans-policies>.

7.0 Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers.

Hope VI, Mixed Finance Modernization or Development.

- 7.1.1 Effective March 1, 2011, HACA consolidated with the Dublin Housing Authority (DHA) subsequent to DHA's disposal of the 150-unit Arroyo Vista, its sole public housing project. (DHA did not administer any Section 8 housing or any other federal, state, or local housing program.) HACA will now have access to the modest HUD Replacement Housing Factor (RHF) funds from Arroyo Vista and may have access to remaining development funds from DHA, which it may use to create additional public housing units in either a stand-alone or mixed finance project. For a mixed-finance project, HACA will seek to partner with an experienced non-profit or for-profit developer to secure a percentage of units as public housing units in a project(s) developed by such developer.
- 7.1.2 HACA may also use the RHF funds resulting from the Arroyo Vista disposition along with RHF funds from disposition of certain of its own public housing units to purchase existing units for conversion to public housing or to develop new units using modular housing.
- 7.1.3 HACA may also use the RHF funds resulting from the Arroyo Vista disposition along with RHF funds from disposition of certain of its own public housing units to support the renovation of its existing public housing units after such units are converted under HUD's Rental Assistance Demonstration (RAD) program, should HACA apply for RAD.

Demolition and/or Disposition.

- 7.1.4 Because the combination of tenant rents and fees, HUD Operating Subsidy, and Capital Fund funding is inadequate to finance the long-term viability of HACA's Public Housing units, HACA has begun to dispose of all of its 232 Public Housing units in stages. In stage 1, HACA submitted an application to HUD to dispose of all 58 of its scattered-site Public Housing units in 2009. That application was approved by HUD December 13, 2010. HACA subsequently received 58 replacement vouchers and has completed the disposition as of June 29, 2012. In stage 2, HACA submitted another disposition application to HUD, this time to dispose of all 100 of its Public Housing units designated for elderly or disabled tenants in December 2010. That application was approved by HUD February 14, 2012. HACA subsequently received 100 replacement vouchers and has completed the disposition as of November 1, 2012.
- 7.1.5 Disposition Timetable for remaining 72 Public Housing units: HACA will consider applying to HUD for approval to include one or both of its two remaining 36-unit Public Housing projects in the Rental Assistance Demonstration (RAD) program. HACA will evaluate whether or not to submit a RAD application this year.

Conversion of Public Housing (to tenant-based assistance). N/A

Homeownership. N/A

Project-Based Vouchers.

- 7.1.6 HACA anticipates project-basing up to 500 units. The cities of Emeryville, Dublin, Fremont, Hayward, and Union City as well as the unincorporated areas of Castro Valley and San Lorenzo are currently-identified locations. Additional locations in Alameda County, such as (but not limited to) Albany, Newark, Pleasanton and San Leandro are possible.
- 7.1.7 HACA is planning to project-base up to 25 units in a non-impacted census tract in Dublin in order to expand housing opportunities for homeless veterans in the eastern part of Alameda County. HACA will apply to HUD and the VA to project base up to 25 VASH vouchers in the project to replace some or all of HACA's regular project based vouchers so as to ensure the veterans in the project receive the supportive services provided under VASH.
- 7.1.8 HACA is planning to project-base up to eight units in central and southern Alameda County to serve the disabled population. It is working with Alameda County and the Neighborhood Stabilization Program on this project.
- 7.1.9 HACA is planning to project-base up to 20 units in the City of Emeryville to support the development of housing for families.

8.0 Capital Improvements

HACA will use 100 percent of funds from the Capital Fund program for activities that are eligible under the Operating Fund, including capital improvements.

Form HUD-50075.1, *Capital Fund Program Annual Statement/Performance and Evaluation Report* has been completed as required and is enclosed.

Form HUD-50075.2, *Capital Fund Program Five-Year Action Plan* has been completed as required and is enclosed.

HACA does not propose to pledge any portion of its CPF/RHF funds to repay debt incurred to finance capital improvements.

9.0 Housing Needs

Housing needs for renters in HACA's jurisdiction are set forth in Part I of the Alameda County HOME Consortium's FY10-14 Consolidated Plan as follows:

Housing Problems of Renter Households

Low, very low and extremely low income households face a broad range of housing problems. At one end are the homeless households living in shelters or those who are in and out of temporary housing. Moving toward the middle of the range are those who have a place to call home, but who have tentative housing situations. These households often live from pay check to pay check and cannot afford to pay for both their housing and other basic necessities, such as food and clothing. They often do not have access to housing near work which is affordable and may face discrimination in finding affordable housing. Given the above factors, the housing they may find may be overcrowded, unsafe or rundown.

Nature and Extent of Renter Housing Problems

Fifty-one percent (51 %) of all renters in the Consortium had housing cost burdens; of those with cost burdens, 15% had severe cost burdens (paying over 50% of income for rent) and another 36% had moderate cost burdens (paying 30-50% of income) (2000 Census).

Sixty-four percent (64%) of extremely low income households (18,262) are renters. Small related households are the predominant family type among extremely low income renters (35%), followed by elderly one and two member households (27%). Eleven percent (11 %) of the extremely low income renters are in large related households; the remaining 27% are other household types.

Of renters in the Consortium who have housing problems (49%), the extremely low income households have the highest percentage of housing problems. Eighty-one percent (81 %) of extremely low income renters have housing problems. More than 78% of the extremely low income renters spend more than 30% of their incomes on housing, i.e. are "cost-burdened." Sixty-six percent (66%) of the extremely low income renter households spend in excess of 50% of their incomes on housing (severe cost burden). Large related extremely low income renter households have the highest percentage of housing problems (95%).

Low-income renter households (with incomes between 50-80% of median) also have acute housing problems. Fully 88% of these low income renters had severe or moderate housing problems; 33% had severe cost burdens and 80% had moderate cost burdens. According to the National Low Income Housing Coalition, these figures make it clear that creating subsidized housing for renters with incomes above 50% of median will do very little to reduce the number of households with severe problems. Most renters with severe problems were either in Other Not Related Households (48%), in Small Related Households (31 %), or Elderly (38%).

10.0 Additional Information

Progress in Meeting Mission and Goals

10.1.1 **Mission:** HACA's success in meeting its mission is reflected in its High Performing SEMAP designation and its PHAS Standard Performer designation.

10.1.2 **Goal:** Expand the supply of assisted housing

Objectives: Apply for additional rental vouchers; and, depending on available funding, utilize Section 8 HCV project-basing to increase housing opportunities for special needs populations.

Progress: There have been no Notices of Funding Availability (NOFAs) for additional rental vouchers for which HACA was eligible to apply during the current fiscal year; however, HACA received an award of an additional 25 Veterans Affairs Supportive Housing (VASH) vouchers. HACA currently has 100 VASH vouchers and 10 Rental Assistance for Non-Elderly Disabled (NED) vouchers.

Re: utilizing Section 8 HCV project-basing to increase housing opportunities for special needs populations, HACA has leased up 32 project-based units at Main Street Village, a Fremont project providing housing and services to the homeless and mentally ill; has leased 5 project-based units at Magnolia Terrace, an Emeryville project providing housing and services to the disabled; has leased 3 project based units at FESCO, a Hayward project providing housing and services to homeless families with children; and has leased 98 project based units at Nidus Court and Dyer Street, HACA's former Union City Public Housing developments for the elderly.

HACA is planning to project base up to 25 VASH units in a non-impacted census tract in Dublin in order to expand housing opportunities for homeless veterans in the eastern part of Alameda County.

Additionally, HACA is planning to project base up to 20 units in the north-county city of Emeryville in order to expand housing opportunities for families and up to 8 units in central and southern Alameda County for the disabled.

10.1.3 **Goal:** Improve the quality of assisted housing

Objectives: Maintain Public Housing Assessment System (PHAS) and Section Eight Management Assessment Program (SEMAP) scores of 90 or higher; transition to a computerized inspection system and inspections conducted by census tract; and modernize up to fifteen (15) public housing units.

HACA has a small public housing program that currently consists of 72 units. Because HACA's public housing program is so small and fully leased except for turnover, HACA does not have vacancies into which to float existing tenants while modernizing their unit. Consequently, HACA modernizes units as they become vacant.

HACA understands that units undergoing modernization improvements are those that require the unit to become or remain vacant to accomplish the improvements. HACA's modernization efforts will include, but not be limited to, Asbestos Containing Material abatement activities, interior upgrades including sink and countertop replacements, installing energy efficient appliances, cabinet replacement, window and/or door replacement, 504/ADA reasonable accommodations, accessibility modifications, heating, electrical and plumbing upgrades, concrete restoration, roofing, siding, paving repairs, mold abatement, interior and exterior painting, common area improvements and completion of

comprehensive and individual modernization activities funded through CFP.

HACA's public housing portfolio is shown on the following table. HACA will schedule the modernization of up to 15 of these units as they become available due to vacancy, casualty loss, and court litigation or due to changes in market conditions beyond HACA's control.

| Address | Unit Designation | Unit Status Type |
|-----------------------|-------------------------|----------------------------|
| 4125 Dyer Street #1 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #10 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #11 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #12 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #13 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #14 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #15 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #16 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #17 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #18 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #19 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #2 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #20 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #21 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #22 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #23 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #24 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #25 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #26 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #27 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #28 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #29 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #3 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #30 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #31 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #32 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #33 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #34 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #35 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #36 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #4 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #5 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #6 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #7 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #8 | General Occupancy | Initial Approval Completed |
| 4125 Dyer Street #9 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #10 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #1 | General Occupancy | Initial Approval Completed |

| | | |
|-----------------------|-------------------|----------------------------|
| 6200 Doyle Street #11 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #12 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #13 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #14 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #15 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #16 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #17 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #18 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #19 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #2 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #20 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #21 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #22 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #23 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #24 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #25 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #26 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #27 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #28 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #29 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #3 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #30 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #31 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #32 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #33 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #34 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #35 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #36 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #4 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #5 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #6 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #7 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #8 | General Occupancy | Initial Approval Completed |
| 6200 Doyle Street #9 | General Occupancy | Initial Approval Completed |

Performance: In the past fiscal year, HACA remained a High Performer as measured by SEMAP and was rated a Standard Performer under PHAS.

HACA's transition to a computerized inspection system has been delayed to its 2013 – 2014 fiscal year as a result of delay in the conversion of HACA's current program management software to a new platform.

As of January 31, 2013, HACA extensively renovated and improved 8 units in the current fiscal year, all of which qualified as "Undergoing Modernization" per HUD.

10.1.4 **Goal:** Increase assisted housing choices

Objectives: Conduct outreach efforts to potential voucher landlords; monitor voucher success and utilization rates and assess adequacy of payment standards; and continue promoting homeownership activities and assisting participants to become homeowners.

Progress: In the current fiscal year, HACA has continued to promote the HCV program in publications of the Rental Housing Association of Southern Alameda County. HACA assessed the adequacy of its payment standards relative to voucher success rates, gross rents and budgeted funds and modified the standards accordingly. HACA also continued to implement its Family Self Sufficiency (FSS) homeownership program, although only three participants were able to purchase a home last year due to tighter lending practices and valuations which remain out of reach, notwithstanding easing sales prices.

10.1.5 **Goal:** Provide an improved living environment

Objectives: Work proactively with local governments to foster understanding and support of HACA and its assisted housing programs.

Progress: In recent fiscal years, HACA staff has participated in ongoing Alameda County Department of Housing and Community Development forums as part of a continuous effort to provide information and support for HACA's assisted housing programs.

10.1.6 **Goal:** Promote self-sufficiency and asset development of assisted households

Objectives: Provide or attract supportive services to improve employability.

Progress: In 2012, HACA's FSS program focused on employability and provided referrals and job leads to over 179 participants. Eighty participants were employed full time and 39 part-time; 56 families increased their income an average of \$ \$4,474 over the previous year.

10.1.7 **Goal:** Ensure equal opportunity and affirmatively further fair housing

Objectives: Undertake affirmative measures to ensure access to assisted housing, and a suitable living environment for families living in assisted housing, regardless of race, color, sex, religion, familial status, age,

disability, national origin, marital status, sexual orientation, source of income or ancestry.

Progress: HACA has continued to administer a Section 504 Grievance Procedure (discrimination on the basis of handicap) and to provide hard-copy weekly rental listings which include units designated for the disabled. (As a public service, HACA also lists privately owned subsidized developments in its jurisdiction, including those with accessibility features, regardless of whether the developments accept Housing Choice Vouchers.)

HACA continued to administer a Language Assistance Plan for serving Limited English Proficiency populations in its jurisdiction; a Public Housing Affirmative Fair Housing Marketing Plan; and a Transition Plan in order to reach compliance with Uniform Federal Accessibility Standards requirements.

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Capital Fund Program, Capital Fund Program Replacement Housing Factor and
Capital Fund Financing Program

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 4/30/2011

| | | | | | |
|--|--|--|-----------------------------|---|-----------------|
| Part I: Summary | | | | | |
| PHA Name: Housing Authority of Alameda County | | Grant Type and Number Capital Fund Program Grant No: CA3908750113 Replacement Housing Factor Grant No: Date of CFFP: _____ | | FFY of Grant: 2013 FFY of Grant Approval: 2013 | |
| Type of Grant <input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report | | | | | |
| Line | Summary by Development Account | Total Estimated Cost | | Total Actual Cost ¹ | |
| | | Original | Revised ² | Obligated | Expended |
| 1 | Total non-CFP Funds | | | | |
| 2 | 1406 Operations (may not exceed 20% of line 21) ³ | \$100,000 | | \$100,000 | |
| 3 | 1408 Management Improvements | | | | |
| 4 | 1410 Administration (may not exceed 10% of line 21) | | | | |
| 5 | 1411 Audit | | | | |
| 6 | 1415 Liquidated Damages | | | | |
| 7 | 1430 Fees and Costs | | | | |
| 8 | 1440 Site Acquisition | | | | |
| 9 | 1450 Site Improvement | | | | |
| 10 | 1460 Dwelling Structures | | | | |
| 11 | 1465.1 Dwelling Equipment—Nonexpendable | | | | |
| 12 | 1470 Non-dwelling Structures | | | | |
| 13 | 1475 Non-dwelling Equipment | | | | |
| 14 | 1485 Demolition | | | | |
| 15 | 1492 Moving to Work Demonstration | | | | |
| 16 | 1495.1 Relocation Costs | | | | |
| 17 | 1499 Development Activities ⁴ | | | | |
| 18a | 1501 Collateralization or Debt Service paid by the PHA | | | | |
| 18ba | 9000 Collateralization or Debt Service paid Via System of Direct Payment | | | | |
| 19 | 1502 Contingency (may not exceed 8% of line 20) | | | | |
| 20 | Amount of Annual Grant: (sum of lines 2 – 19) | \$100,000 | | \$100,000 | |
| 21 | Amount of line 20 Related to LBP Activities | | | | |
| 22 | Amount of line 20 Related to Section 504 Activities | | | | |
| 23 | Amount of line 20 Related to Security – Soft Costs | | | | |
| 24 | Amount of line 20 Related to Security – Hard Costs | | | | |
| 25 | Amount of line 20 Related to Energy Conservation Measures | | | | |

¹ To be completed for the Performance and Evaluation Report.

² To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

³ PHAs with under 250 units in management may use 100% of CFP Grants for operations.

⁴ RHF funds shall be included here.

Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 Expires 4/30/2011

| | | | | | |
|---|--------------------------------|---|----------------------|---|----------|
| Part I: Summary | | | | | |
| PHA Name: Housing Authority of Alameda County | | Grant Type and Number Capital Fund Program Grant No: CA3906750113 Date of CFFP: _____ | | Replacement Housing Factor Grant No: FFY of Grant: 2013 FFY of Grant Approval: 2013 | |
| Type of Grant <input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report | | | | | |
| Line | Summary by Development Account | Total Estimated Cost | | Total Actual Cost ¹ | |
| | | Original | Revised ² | Obligated | Expended |
| Signature of Executive Director | | Date | | Signature of Public Housing Director | |
| | | | | Date | |

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² To be completed for the Performance and Evaluation Report.

² To be completed for the Performance and Evaluation Report.

¹ Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

¹ Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

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Capital Fund Program, Capital Fund Program Replacement Housing Factor and
Capital Fund Financing Program

U.S. Department of Housing and Urban Development
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OMB No. 2577-0226
Expires 4/30/2011

| Part I: Summary | | | | | |
|--|--|---|----------------------|---|----------|
| PHA Name: Housing Authority of Alameda County | | Grant Type and Number Capital Fund Program Grant No: _____ Date of CFFP: _____ | | FFY of Grant: 2013 FFY of Grant Approval: 2013 | |
| Type of Grant <input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report | | | | | |
| Line | Summary by Development Account | Total Estimated Cost | | Total Actual Cost ¹ | |
| | | Original | Revised ² | Obligated | Expended |
| 1 | Total non-CFP Funds | | | | |
| 2 | 1406 Operations (may not exceed 20% of line 21) ³ | | | | |
| 3 | 1408 Management Improvements | | | | |
| 4 | 1410 Administration (may not exceed 10% of line 21) | | | | |
| 5 | 1411 Audit | | | | |
| 6 | 1415 Liquidated Damages | | | | |
| 7 | 1430 Fees and Costs | | | | |
| 8 | 1440 Site Acquisition | | | | |
| 9 | 1450 Site Improvement | | | | |
| 10 | 1460 Dwelling Structures | | | | |
| 11 | 1465.1 Dwelling Equipment—Nonexpendable | | | | |
| 12 | 1470 Non-dwelling Structures | | | | |
| 13 | 1475 Non-dwelling Equipment | | | | |
| 14 | 1485 Demolition | | | | |
| 15 | 1492 Moving to Work Demonstration | | | | |
| 16 | 1495.1 Relocation Costs | | | | |
| 17 | 1499 Development Activities ⁴ | \$209,867 | | \$209,867 | |
| 18a | 1501 Collateralization or Debt Service paid by the PHA | | | | |
| 18ba | 9000 Collateralization or Debt Service paid Via System of Direct Payment | | | | |
| 19 | 1502 Contingency (may not exceed 8% of line 20) | | | | |
| 20 | Amount of Annual Grant: (sum of lines 2 – 19) | \$209,867 | | \$209,867 | |
| 21 | Amount of line 20 Related to LBP Activities | | | | |
| 22 | Amount of line 20 Related to Section 504 Activities | | | | |
| 23 | Amount of line 20 Related to Security – Soft Costs | | | | |
| 24 | Amount of line 20 Related to Security – Hard Costs | | | | |
| 25 | Amount of line 20 Related to Energy Conservation Measures | | | | |

¹ To be completed for the Performance and Evaluation Report.

² To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

³ PHAs with under 250 units in management may use 100% of CFP Grants for operations.

⁴ RHF funds shall be included here.

Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
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| | | | | |
|--|---------------------------------------|---|--|---|
| Part I: Summary | | | | |
| PHA Name: Housing Authority of Alameda County | | Grant Type and Number Capital Fund Program Grant No: _____ Date of CFFP: _____ | | FFY of Grant: 2013 FFY of Grant Approval: 2013 |
| Type of Grant <input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report | | | | |
| Line | Summary by Development Account | Total Estimated Cost | | Total Actual Cost ¹ |
| | | Original | Revised ² | Obligated Expended |
| Signature of Executive Director _____ | | Date _____ | Signature of Public Housing Director _____ | Date _____ |

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Office of Public and Indian Housing
Expires 4/30/2011

² To be completed for the Performance and Evaluation Report.

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Office of Public and Indian Housing
Expires 4/30/2011

² To be completed for the Performance and Evaluation Report.

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form HUD-50075.1 (4/2008)

¹ Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

Capital Fund Program—Five-Year Action Plan

U.S. Department of Housing and Urban Development
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Expires 4/30/2011

| Part I: Summary | | | | | | |
|----------------------------|--|---------------------------------------|---|---------------------------------------|--|---------------------------------------|
| PHA Name/Number HACA CA067 | | | Locality (City/County & State) Alameda County, California | | <input checked="" type="checkbox"/> Original 5-Year Plan | <input type="checkbox"/> Revision No: |
| A. | Development Number and Name | Work Statement for Year 1 FFY 2013 | Work Statement for Year 2 FFY 2014 | Work Statement for Year 3 FFY 2015 | Work Statement for Year 4 FFY 2016 | Work Statement for Year 5 FFY 2017 |
| B. | Physical Improvements Subtotal | Annual Statement | | | | |
| C. | Management Improvements | | | | | |
| D. | PHA-Wide Non-dwelling Structures and Equipment | | | | | |
| E. | Administration | | | | | |
| F. | Other | | | | | |
| G. | Operations | | \$95,000 | \$90,000 | \$85,000 | \$80,000 |
| H. | Demolition | | | | | |
| I. | Development | | | | | |
| J. | Capital Fund Financing – Debt Service | | | | | |
| K. | Total CFP Funds | | \$95,000 | \$90,000 | \$85,000 | \$80,000 |
| L. | Total Non-CFP Funds | | | | | |
| M. | Grand Total | | \$95,000 | \$90,000 | \$85,000 | \$80,000 |

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Expires 4/30/2001

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Capital Fund Program—Five-Year Action Plan

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OMB No. 2577-0226
Expires 4/30/2011

| Part II: Supporting Pages – Physical Needs Work Statement(s) | | | | | | |
|--|--|----------|----------------|--|----------|----------------|
| Work Statement for Year 1 FFY 2013 | Work Statement for Year 2 FFY 2014 | | | Work Statement for Year 3 FFY 2015 | | |
| | Development Number/Name General Description of Major Work Categories | Quantity | Estimated Cost | Development Number/Name General Description of Major Work Categories | Quantity | Estimated Cost |
| See Annual Statement | PHA-wide | | | PHA-Wide | | |
| | CAL 67-12/13-OPERATIONS | | \$95,000 | CAL 67-12/13 OPERATIONS | | \$90,000 |
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| | Subtotal of Estimated Cost | | \$ 95,000 | Subtotal of Estimated Cost | | \$ 90,000 |

Capital Fund Program—Five-Year Action Plan

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| Part II: Supporting Pages – Physical Needs Work Statement(s) | | | | | | |
|--|---|----------|----------------|--|----------|----------------|
| Work Statement for Year 1 FFY 2013 | Work Statement for Year 4 | | | Work Statement for Year: 5 | | |
| | FFY 2016 | | | FFY 2017 | | |
| | Development Number/Name General Description of Major Work Categories | Quantity | Estimated Cost | Development Number/Name General Description of Major Work Categories | Quantity | Estimated Cost |
| See Annual Statement | PHA Wide | | | PHA Wide | | |
| | CAL 67-12/13 OPERATIONS | | \$85,000 | CAL 67-12/13 OPERATIONS | | \$80,000 |
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| | Subtotal of Estimated Cost | | \$ 85,000 | Subtotal of Estimated Cost | | \$ 80,000 |

Capital Fund Program—Five-Year Action Plan

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| Part III: Supporting Pages – Management Needs Work Statement(s) | | | | |
|---|--|----------------|--|----------------|
| Work Statement for Year 1 FFY 2013 See Annual Statement | Work Statement for Year 2 _____ FFY 2014 | | Work Statement for Year: 3 _____ FFY 2015 | |
| | Development Number/Name | Estimated Cost | Development Number/Name | Estimated Cost |
| | General Description of Major Work Categories | | General Description of Major Work Categories | |
| | Operations | | Operations | |
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| | Subtotal of Estimated Cost | \$ | Subtotal of Estimated Cost | \$ |

Capital Fund Program—Five-Year Action Plan

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
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Expires 4/30/2011

| Part III: Supporting Pages – Management Needs Work Statement(s) | | | | |
|---|--|----------------|--|----------------|
| Work Statement for Year 1 FFY 2013 | Work Statement for Year 4 FFY 2016 | | Work Statement for Year: 5 FFY 2017 | |
| | Development Number/Name | Estimated Cost | Development Number/Name | Estimated Cost |
| | General Description of Major Work Categories | | General Description of Major Work Categories | |
| See | Operations | | Operations | |
| Annual | | | | |
| Statement | | | | |
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| | Subtotal of Estimated Cost | \$ | Subtotal of Estimated Cost | \$ |

Capital Fund Program—Five-Year Action Plan

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 4/30/2011

| Part I: Summary | | | | | | |
|----------------------------|--|---------------------------------------|---|---------------------------------------|--|---------------------------------------|
| PHA Name/Number HACA CA067 | | | Locality (City/County & State) Alameda County, California | | <input checked="" type="checkbox"/> Original 5-Year Plan <input type="checkbox"/> Revision No: | |
| A. | Development Number and Name | Work Statement for Year 1 FFY 2013 | Work Statement for Year 2 FFY 2014 | Work Statement for Year 3 FFY 2015 | Work Statement for Year 4 FFY 2016 | Work Statement for Year 5 FFY 2017 |
| B. | Physical Improvements Subtotal | Annual Statement | | | | |
| C. | Management Improvements | | | | | |
| D. | PHA-Wide Non-dwelling Structures and Equipment | | | | | |
| E. | Administration | | | | | |
| F. | Other | | | | | |
| G. | Operations | | | | | |
| H. | Demolition | | | | | |
| I. | Development | | \$209,867 | \$209,867 | \$209,867 | |
| J. | Capital Fund Financing -- Debt Service | | | | | |
| K. | Total CFP Funds | | \$209,867 | \$209,867 | \$209,867 | |
| L. | Total Non-CFP Funds | | | | | |
| M. | Grand Total | | \$209,867 | \$209,867 | \$209,867 | |

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 4/30/2001

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Capital Fund Program—Five-Year Action Plan

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 4/30/2011

| Part II: Supporting Pages – Physical Needs Work Statement(s) | | | | | | |
|--|--|----------|----------------|--|----------|----------------|
| Work Statement for Year 1 FFY 2013 | Work Statement for Year 2 FFY 2014 | | | Work Statement for Year 3 FFY 2015 | | |
| | Development Number/Name General Description of Major Work Categories | Quantity | Estimated Cost | Development Number/Name General Description of Major Work Categories | Quantity | Estimated Cost |
| See Annual Statement | PHA-wide | | | PHA-Wide | | |
| | CA39-067 Development | | \$209,867 | CA39-067 Development | | \$209,867 |
| | Acquire a site and develop new public housing units | | | Acquire a site and develop new public housing units | | |
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| | Subtotal of Estimated Cost | | \$ 209,867 | Subtotal of Estimated Cost | | \$ 209,867 |

Capital Fund Program—Five-Year Action Plan

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 4/30/2011

| Part II: Supporting Pages – Physical Needs Work Statement(s) | | | | | | | |
|--|---|----------|----------------|--|----------------------------|----------------|----|
| Work Statement for Year 1 FFY 2013 | Work Statement for Year 4 | | | Work Statement for Year: 5 | | | |
| | FFY 2016 | | | FFY 2017 | | | |
| | Development Number/Name General Description of Major Work Categories | Quantity | Estimated Cost | Development Number/Name General Description of Major Work Categories | Quantity | Estimated Cost | |
| See Annual Statement | PHA Wide | | | PHA Wide | | | |
| | CA39-067 Development | | \$209,867 | CA39-067 Development | | | |
| | Acquire a site and develop new public housing units | | | Acquire a site and develop new public housing units | | | |
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| | Subtotal of Estimated Cost | | \$ | 209,867 | Subtotal of Estimated Cost | | \$ |

Capital Fund Program—Five-Year Action Plan

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 4/30/2011

| Part III: Supporting Pages – Management Needs Work Statement(s) | | | | |
|---|---|----------------|---|----------------|
| Work Statement for Year 1 FFY 2013 | Work Statement for Year ² FFY 2014 | | Work Statement for Year: ³ FFY 2015 | |
| | Development Number/Name | Estimated Cost | Development Number/Name | Estimated Cost |
| | General Description of Major Work Categories | | General Description of Major Work Categories | |
| See | CA39-067 Development | \$209,867 | CA39-067 Development | \$209,867 |
| Annual | Acquire a site and develop new public housing units | | Acquire a site and develop new public housing units | |
| Statement | | | | |
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| | Subtotal of Estimated Cost | \$ 209,867 | Subtotal of Estimated Cost | \$ 209,867 |

Capital Fund Program—Five-Year Action Plan

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 4/30/2011

| Part III: Supporting Pages – Management Needs Work Statement(s) | | | | |
|---|---|----------------|---|----------------|
| Work Statement for Year 1 FFY 2013 | Work Statement for Year 4 | | Work Statement for Year: 5 | |
| | FFY 2016 | | FFY 2017 | |
| | Development Number/Name General Description of Major Work Categories | Estimated Cost | Development Number/Name General Description of Major Work Categories | Estimated Cost |
| See | CA39-067 Development | \$209,867 | CA39-067 Development | |
| Annual | Acquire a site and develop new public housing units | | Acquire a site and develop new public housing units | |
| Statement | | | | |
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| | Subtotal of Estimated Cost | \$ 209,867 | Subtotal of Estimated Cost | \$ |